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## Editorial

In 1992, the State of Illinois established the Law Enforcement Executive Institute, which was designed to train future law enforcement leaders on current and emerging management philosophies, techniques, strategies, and topics relevant to the operation of the police function. Such topics include futuristic studies, emergent technology, legal issues, organizational communication, and executive responsibility. The resulting course, entitled, “The Police Executive in the 21st Century,” became a 200-hour curriculum, taught by nationally recognized scholars and practitioners and incorporated a research and writing component.

Aligned closely with the Law Enforcement Executive Institute is the *Law Enforcement Executive Forum*, which publishes research on a wide-range of law enforcement issues. Past publications have focused on the use of deadly force, vehicle pursuits, police training, police recruitment and selection, police-mental health collaboration, police ethics, police legal issues, and personnel administration, to name just a few. It was our strong belief that executive training, in order to be effective, must incorporate an ongoing research component.

The students who enroll in “The Police Executive in the 21st Century” course are experienced police professionals at the upper ranks of their departments. The State of Illinois provides a scholarship amounting to approximately \$5,000 per student to train these current and future law enforcement leaders. The course of study is demanding, and each student is required to write a major research paper on a current or emerging law enforcement issue. The collection of articles contained in this issue of the Forum were written by police administrators who graduated from the most recent course.

Law enforcement executives in the 21st century must possess many skills, and although it is seldom acknowledged, research and writing are two of the most critical of those skills. The quality of the articles contained herein provide evidence of the students’ skill development in the areas of research and writing.

*Thomas J. Jurkanin, PhD*

*Executive Director*

*Illinois Law Enforcement Training and Standards Board*



# Leadership Versus Management – Their Role in Increasing Accountability Through Mentoring and Empowerment

**Thomas J. Piotrowski, Chief of Police, Geneseo Police Department**

Entering a police department as a new chief or becoming a new chief from within the organization has both bona fide challenges and unique opportunities. The chief has the role of a leader and a manager, ultimately determining the goals, vision, mission, and direction of the agency. The chief can change things through the use of written policy and procedure or the alteration of the employees' level of accountability.

Chiefs' styles of leadership and management can run an enormous range among a wide spectrum, with many combinations and permutations. Chiefs have different ideas and perspectives of what is acceptable for their respective employees. Some chiefs allow employees to make decisions at the lowest level of the agency if possible, while some would like to have the final say in all decisions, regardless of complexity. There are also various ways to harvest accountability through the use of empowerment and mentoring. Agency culture can be changed or created, by using different leadership and management styles. An entire agency can be transformed by empowering staff with challenging assignments, developing and training new employees, and using mentoring to establish the desired agency culture.

There are many different styles of leadership. Some incorporate small characteristics of multiple styles for a distinctive new style of leadership. It is imperative to determine which type of leadership and management is conducive to fostering positive employee growth and which type may have detrimental effects on employee participation and growth. As stated by Sanow (2003), "As chief or sheriff, you know your first responsibility is to lead. Not to manage, not to supervise: lead" (p. 5). Chiefs can be good managers and poor leaders or poor managers and good leaders. As different challenges are created for chiefs of police, they need to be able to adapt to change and overcome potentially problematic situations. As stated by retired Army General Colin Powell (2001), "Leadership is the art of accomplishing more than the science of management says is possible."

The first type of leadership style is that of the autocratic leader. This is the type of leader that uses power to gain compliance. The types of power range from coercive to reward. For example, discipline may be utilized if employees fail to perform in a preferred manner or if rewards, such as letters of commendation are not given out in a consistent manner.

There are three types of autocratic leaders: (1) the traditional leader, meaning certain people have the authority to be a leader by their position, (2) the second is the charismatic leader, who uses his or her personal charm and charisma to gain compliance and to have people follow, and (3) the rational leader, who trains and educates him- or herself to be known as a "whiz" and people follow his or her



lead based on technical ability (Wallace, Roberson, & Steckler, 1995). The autocratic style of leadership works on the notion of the top down theory, based on rank and position within the organization.

Autocratic chiefs strive to streamline the top down theory and give the lowest ranking employee in the organization the ability to make a decision, if possible, given the circumstances. They also want to include all members of the organization in decisions that affect them. Examples of this would be the type of police car an agency drives, what type of duty shoes to wear, which type of video recording system is the most favorable, and so on. Chiefs want to empower their employees to think toward decisions in order to develop their skills.

The shift from an autocratic style of leadership to a democratic style will facilitate cultural change within the organization, allowing employees the opportunity to have a “say” in decisionmaking. (e.g., allowing employees the opportunity to choose the shifts they work). Chiefs may have to rely on the autocratic style of leadership in exigent circumstances, and the top of the organization would always have the final decision in organizational issues.

Employee-centered leaders take into account the employees’ feelings, desires, aspirations, and goals first. They use closeness to the employee as a way to encourage positive goals. Chiefs can look to the characteristics of the employee-centered leader to begin the mentoring process. This is endeavored upon with the development of a training plan that will help the employee move toward skills that will enhance the organization over time. The job-centered leader will achieve agency goals and objectives before that of the employee. For example, this leader will be more concerned about the budget and keeping costs down, rather than training the employees to save money. The directive leader will “hand out orders and assignments” to the lower ranking personnel (e.g., “go get your work done, go make some traffic stops, go out and arrest some criminals, etc.”). The supportive leader helps employees achieve their goals. Again, chiefs will use this style of leadership in the mentoring and empowerment development phase to encourage employee growth. The participative leader leads by example and will be “out in the trenches” with the employees, gaining support for the agency. The participative leader can not always be with the employees since there are a lot of responsibilities, meetings, and duties that will take away from the ability to participate. Each style of leadership has an impact on employees and how the public views the agency. We will concentrate on the styles of leadership that help enhance the chief’s goal of using empowerment and mentoring (Whisenand & Ferguson, 1996). The achievement-centered leader focuses on achieving certain goals for the agency (e.g., lowering the crime rate, reducing overtime, increasing officer-initiated activity). This type of leadership can be shifted to enhance the goals of individual employees by encouraging and providing opportunities for growth, thereby helping the agency grow currently and in the future. Employees of police departments may expect this type of chief to participate in day-to-day assignments, provide training, equipment, and encouragement; be supportive and decisive; and foster growth opportunities. With positive and supportive leadership, the employees will in turn, be more supportive, have increased morale, and have the perception of departmental ownership. This support and enthusiasm will be effective as long as the chief is present; however, employee production will greatly diminish in the chief’s absence.

Depending on the agency and the location of the agency, many different traits may or may not be important. Each agency requires a different set of traits to have effective leadership. Leadership needs to be flexible, allowing for a mixture of personal relationships and task-oriented achievements (Leonard & More, 1987).

Another type of leadership that can be present within a police organization is the informal leader. This leader does not hold any specific rank or position but has a following of employees that he or she may mold. The chief of the organization must acknowledge and recognize the presence of any informal leadership and take proper steps to develop the informal leader. The chief should make sure that this leader is representing the agency goals, mission, and vision.

As was discussed with leadership, there are many different types of management that can occur within a police agency. Robert Blake and Jane Mouton (cited in Leonard & More, 1987, pp. 245-247) describe management styles in their book, *The Managerial Grid*. The management styles discussed in the managerial grid are the impoverished manager, the task manager, the country club manager, the middle-of-the-road manager, and the team manager.

The impoverished manager assigns tasks to employees and then leaves them alone. This type of manager gives very little and does not encounter much difficulty with people. The task manager does not allow the human element to enter into the equation and is only concerned with the task at hand. The country club manager cares more deeply for the people or employees completing the tasks. The middle-of-the-road manager cares equally for the task at hand and the people or employees completing the task. There is an assumption that employees will be practical and complete the tasks at hand. The team manager has a high regard for the people or employees completing a task and the task at hand. It is very important to have concern for your employees and the job that needs to be accomplished (Leonard & More, 1987). Another type of manager that is present within a police organization is the lame duck manager. These types of managers are just riding the storm out waiting for retirement. They do not want to rock the boat or create turmoil. They have very little regard for agency tasks or employees. They are basically retired on duty and waiting for a certain date to collect a pension check. The lame duck management style can create an organizational culture that produces negativity and cynicism. For instance, employees tend to think that no one cares about how they feel, the agency direction, safety concerns, equipment issues, etc. Taking an agency over after a lame duck manager can be very challenging, creating the need to build goals, a vision, and a mission. It will take a lot of effort on the new chief's part to enhance employee growth and organizational buy-in. Organizational culture is based on the attitudes and perceptions of the staff, so the new chief must cultivate positive attitudes and perception to progress, growth, and change in organizational direction.

Police administrators need to use leadership styles that will foster growth in the department mission and vision. Another important concept that will help enhance the department mission and vision is the police administrator's management style. There are many different management and leadership styles, and the police administrator must find an even mixture in order to be effective. Leadership styles chosen by police chiefs may or may not be indicative of success or failure. Different situations require different management skills and styles. The focus should be on accountability, mentoring, and employee growth, while completing needed

tasks and assignments. The team-oriented leader will be the most effective for harvesting organizational growth and buy-in. The task manager will be used to gain accountability through empowerment.

Leaders in police organizations need to continue to educate themselves and make sure that their employees are trained and educated. The leader needs to focus on their employees' strong points and enhance those topics (Borrello, 2003). A good leader needs to find a way to manage positive employee strengths and needs to develop those strengths to encourage employee growth. A leader can use the strengths of employees to create a "well-oiled machine" in the future. The leader needs to prepare the agency for the future, creating opportunities for subordinates. Police administrators, in turn, need to have great self-confidence and be sure of their abilities to prepare, find strengths, and train to allow subordinates to take on specific projects. It is suggested that leaders allow the subordinates the ability to grow. If a department employee is very interested in cars, the leader needs to develop those skills and place that person in charge of fleet maintenance. The employee will take ownership of the project and more than likely do an outstanding and efficient job (Borrello, 2003). The project will give the employee greater job satisfaction, which will enhance all aspects of the job. The examples are endless; for example, the officer who is a gun enthusiast may be the best person to train and put in charge of the shooting range. Allowing the officer to have ownership in the shooting range will create an atmosphere of relevant up-to-date training.

As new employees are recruited, tested, and hired, there is a propensity to notice that the quality of the individuals seeking law enforcement as a profession is changing. The individuals have different desires, goals, and attitudes, which require an environment that fosters the growth of those attributes.

Leadership needs to focus on commitment to the organization and encouraging cooperation to enhance accountability through the use of empowerment and mentoring. Chiefs' need to have subordinates join the team, get on the same page, and work toward the organizational mission and vision. Subordinates need to look at the organizational mission and vision, while feeling that they are part of a team and that they have contributed to the success (Fulton, 1988, p. 42). Teamwork and cooperation should be encouraged to objectively reach the organizational goals. Having many employees focused on the same task will make the task more achievable. As Homer stated, "Light is the task, where many share the task" (Fulton, 1988, p. 43).

The remainder of this article will examine the use of mentoring and empowerment. Different leadership and management techniques have altering impacts on accountability. Employee development, desire, cooperation, self-worth, and potential will be the driving force in harvesting accountability, with the use of mentoring and empowerment. The majority of police organization budgeting is allocated in personnel. Personnel is the most valuable asset of a police organization (Fulton, 2001). A balanced combination of the autocratic and democratic style of leadership will need to be achieved for mentoring and empowerment. The previous two styles can be compared to the task-oriented leader, the autocratic leader, and the employee-oriented leader, a more democratic style. These are only two of many leadership styles. "At one extreme the leader makes the decision, tells his subordinates, and expects them to carry out that decision. At the other extreme,

the leader fully shares his decision making power with his subordinates, allowing each member of the group to carry an equal voice—one person, one vote” (Robbins, 1988, p. 123).

As defined in *Webster’s New World Dictionary of the American Language*, a mentor is a wise advisor, a teacher, or a coach. Mentoring can take on many different levels, including the mentoring of chiefs of police, sergeants, patrol officers, and civilian employees. A more defined focus will be the mentoring for success in relation to the organizational goals, mission, and vision of the police department. Goal setting for the mentoring process will be accomplished by the chief of police in conjunction with the subordinate employee. The chief of police will act as a mentor, as well as seek out other members of the organization to become mentors. “Administrators unconsciously look for persons who have talent; demonstrate good work ethics and values; have a willingness to learn; and are willing to accept suggestions, direction, and constructive criticism. As long as it does not degenerate to favoritism, mentorship is a healthy part of management development” (Jurkanin, Hoover, Dowling, & Ahmad, 2001, p. 34). As stated by Harvey Sprafka, chief of police for the Knoxville, Iowa Police Department, “Chiefs of smaller agencies can enhance their leadership effectiveness by demonstrating mentoring and by encouraging a total agency mentoring environment” (Sprafka & Kranda, 2000, p. 9). Mentorship should be used to develop new employees, as well as future management staff. The desire is to mentor the new employee through training and education for the development of the police organization as a whole in the future. The use of mentoring will instill continuity and quality of specific skills and behavior and a sense of self-worth for employees of the police organization. Mentoring uses the skills of “veteran” employees to develop and hone the skills of the mentor’s subordinates. The vision, mission, and goals of the organization are taught to the subordinate. The use of mentoring will help retain new employees and current employees by giving them challenging opportunities and goals (Sprafka & Kranda, 2000).

Employee-centered leadership and management is used in the mentoring process; however, exigent circumstances dictate the need for a more autocratic style of leadership. Examples of this may include situations such as a burglary in progress, a man with a gun call, a lost or missing child, and bank robbery. These examples define the need for task-oriented leadership and management qualities. The autocratic style will be used in situations in which the leader or chief is the decision-maker, allowing the employees the ability to fall back on the leader’s choices. The chief needs to have the ability to multi-task and adapt and overcome potential barriers.

The use of employee-centered leadership and management is more conducive to situations such as the evaluation process, which takes notice of employees doing something positive and building off of the positives. The chief must determine the best abilities of staff members regardless of what rank they hold and use the education of the staff to enhance agency skills and capabilities. Obviously the evaluation process still needs to review negativity in order to redirect the employee towards a more positive outcome.

The use of mentors will give employees the ability to ask questions to make sure they are doing the job correctly and will ensure that employees are working and trying to do their jobs. Mentoring the new employee will help harvest skills for success in the police organization, ultimately bridging the gap to the future by

providing the subordinate the opportunity to become a mentor. By using this method, the organizational culture will facilitate progressive growth and support (Sprafka & Kranda, 2000). Mentoring comes from many different sources including teachers, parents, bosses, fellow workers, etc. (Jurkanin et al., 2001, p. 34). The focus of mentoring will be the supervisor and fellow worker roles. While considering a potential mentor, it is important to choose someone who is properly trained and has the agency goals, objectives, mission, and vision at heart. Formal mentoring begins with the development of goals. These goal-setting meetings during the evaluation process need to focus on the development of the employee and the development of accountability in the employee's actions. The goals need to be reasonable, achievable, and challenging to the employee. If the set of goals are too easy to achieve, the employee and organization may not utilize the employee's full potential. If the set of goals are too difficult to achieve, the employee may struggle and give up. The goal-setting session needs to be reviewed over the evaluation period, and the status of the goals may need to be modified. The goal-setting session needs to provide guidance, encouragement, support, and feedback to the employee so that he or she can develop the needed skills and the vision, mission, and goals of the organization are met now and in the future. Individual employees need to be challenged and have a sense of self-worth in their careers; therefore, goals need to match the strengths of the employee.

The mentoring process for newly hired employees will help cement them to the organization, provide a support system for them within the organization, assist with career development, and encourage proper or preferred techniques within the organization to bolster accountability in positive performance of the employees' assigned duties (Sprafka & Kranda, 2000). The mentoring process should enhance and develop the way employees work.

Leaders must modify their leadership styles to allow employees the opportunity to take part in decisions that affect their careers. Chiefs need to develop, nurture, coach, teach, and enable them to be productive employees. Chiefs must be role models—visible, active, energetic, and positive leaders, by word and example—who practice what they preach (Couper & Lobitz, 1991). During the goal-setting sessions, the chief should try to use the employee-centered leadership style to give the employee support in developing a more productive work pattern. The goal-setting sessions during the evaluation process are time-consuming and require significant work on the part of the chief. The employee will develop self-worth and a sense of belonging and feel like a team member when the chief takes the time and makes the effort while developing employee goals. During this process, the chief has the chance to view the employee as a person and not a "number," thereby allowing the employee the ability to make self-initiated decisions, use creativity, and become innovative. This will enhance the employee's ability to make decisions in situations in which the chief or supervisor is not present. The mentoring process will give the employee the tools and skills necessary to develop decision-making abilities. The employee has to be given the opportunity to succeed. All successes need to be noticed, rewarded, and built upon positively (Fulton, 2001). "Good supervisors can develop and advance a career through mentoring, honest and constructive performance evaluations, and fair job assignments" (O'Keefe, 2004, p. 224).

Leadership strategies can have positive and negative effects on employees. The use of a more democratic style of leadership will foster an environment that

encourages the use of empowerment. As defined by *Webster's New World Dictionary of the American Language*, *empowerment* is the act of giving power to authorize or to enable. Empowerment should be used to increase staff job satisfaction, job enrichment, and staff sense of self-worth and to facilitate a rewarding atmosphere. A leader must set the direction of the agency, communicate the direction, and lead in the desired direction. Staff accountability is a fundamental desire to a progressive police agency. The use of proper and positive empowerment techniques will yield staff accountability.

As accountability increases, the agency will benefit. As staff members realize that they will have to explain situations that are relative to their jobs, there will be an increase in job results.

One way to increase accountability and job results is to use empowerment. Increased commitment to the organization is vital. Staff needs to be encouraged and challenged. Each success needs to be celebrated and built upon with another challenging assignment. Human nature will enable staff to "step up to the challenge" and persevere to succeed (Fulton, 2001). Once employees' positive attributes are further developed, it can be determined whether responsibility can be expanded and whether there is enough trust, training, and/or education to delegate tasks to the staff. A key function of empowerment is to delegate tasks to subordinates and to allow them the ability to complete the projects, only offering assistance when requested. A "by when date" should be included with all assignments to ensure that tasks are completed in a timely manner. The chief will review the results of the project with them to ensure a quality performance. Again, the positive successes will be built upon and developed to encourage cooperation and participation by the employee currently and in the future. Effective delegation must be bifurcated: responsibility is given, and responsibility is taken. The leader or manager must really "let go" of the project and allow the staff to be autonomous. A common pitfall to delegation is micromanagement. This decreases information flow, responsiveness, employee satisfaction, and advancement opportunities; management wins out over leadership. Proper delegation encourages employee growth, job satisfaction, progressive and aggressive work ethics, trust, and commitment to the job (Whisenand & Ferguson, 1996). Proper management and leadership choices with proper delegation will allow the chief to provide assignments to many and manage only energy and direction of the delegated tasks. Multiple employees will be working on numerous tasks to keep the organization progressive and encourage growth, job satisfaction, sense of self-worth, participation, trust, and unity to the team. To manage many aspects within the organization, the chief must "manage by walking around." This will make the chief available if questions or concerns should arise and also give staff an opportunity to engage him or her (Whisenand & Ferguson, 1996).

The task-manager and the employee-centered roles will work hand in hand to produce the desired objectives, goals, mission, and vision. As stated by James O'Keefe (2004), "what gets inspected, gets respected" (personal communication). One way to make staff accountable is by generating and reviewing crime statistics [e.g., the use of COMPSTAT (computer-generated statistics) at the New York City Police Department]. All leaders and managers are accountable for the crime in their respective service area, as well as the activities or inactivities of their subordinates. COMPSTAT can be developed to fit any particular agency, whether big or small. Numerous versions of COMPSTAT have emerged. The use of a records management,

officer activity management, and a computer-aided dispatch system can provide the needed information to hold staff accountable (Maple & Mitchell, 1999). All staff are provided information about activities and crime information and have the ability to contribute solutions. Accountability must have the respect of the manager and the employee. The staff will be aware that information is being reviewed and that activities will be monitored.

Many permutations of management and leadership are available. Each organization will have to develop and harvest the needed techniques that foster and encourage progressive, positive growth. The use of mentoring, proper training, education, development, and empowerment will all lead to staff accountability. This will develop a team philosophy that has all staff on the same page, working toward a common goal, vision, and mission. A professional organization will be developed and expanded on for the future. The agency will have people that can “step up” when needed; future leaders will be developed, and accountability to the public and organization will be enhanced. The creation of a team atmosphere will encourage synergy and build confidence. Full staff participation will keep the atmosphere rewarding, challenging, productive, and interesting, while serving and protecting society.

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# Police Executive Role in the 21st Century: Supervisor Training Standards

Kim R. Hankins, Lieutenant, Moline Police Department

## Career Training for Supervisors

The ever-changing field of policing requires adaptation to accomplish the goal of providing the best service to the public. As aspects of the police agency change through progress, more training is required; however, there is little being done to provide training at the supervisory level to stay abreast of these changes. Training for supervisors is required in order to effectively lead their subordinates today and in the future. Training for police supervisors has not changed in the last several years with the new styles in policing and the increased diversity of officers. Police supervisors need specific training related to the function of their positions to provide them with the knowledge and skills required to perform their duties. A set of minimum standards for all levels of supervision needs to be established with increased training for specialized areas.

Training for police supervisors has traditionally been a transfer of power and the key to an office with a comment such as, "Good luck in your new assignment." Sometimes there is a small amount of training, such as a new sergeant being sent to a first-line supervision course. A new lieutenant may, depending on the size of the organization, get little or no further training or be sent to a mid-level manager course, and a newly promoted captain may be sent to a command school if one is offered close by and there is money available in the budget. According to Charles Hale (1994), . . .

. . . many police officers are appointed to supervisory positions without adequate preparation for their new assignments and responsibilities. A course in police supervision, including a minimum of 80 hours of instruction in such subjects as planning, resource utilization, decisionmaking, and performance evaluation should be required for all supervisory personnel. (p. 339)

Even though each new supervisory position is more complex than the previous, traditionally there has been a lack of training addressing these complexities. In regard to supervisors' abilities, Iannone (1980) said, "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" (p. 10). In order to acquire an understanding, supervisors need to be exposed to leadership/management styles, organizational techniques, and other ways to effectively perform their duties. These topics could be taught through observing how another supervisor performs; however, this would be time-consuming for the police agency. It could also be accomplished by providing the supervisor with training, either in specific topics or through a supervisor course that combines these elements together.

Over the past several years, the field of policing has also shifted towards the goal of becoming more professional. This goal has led many police agencies to set educational entry-level standards in the form of college degrees for new employees. But does the increased level of education provide the needed expertise to later perform the duties of a supervisor? If not, then standards must be established for promotions to higher ranks in police agencies. One answer may be that a higher education can show the commitment of a new employee to take on a task and see it through; however, it does not address the skills that the employee will need to perform his or her job as a supervisor more effectively 5, 10, or 20 years down the road. A higher level of education is also not job-specific enough for the variety of police agencies into which the new employee might be hired. Another factor is that the phrase "level of higher education" is broad, in that a bachelor's degree in biology and a bachelor's degree in criminal justice are given equal weight. This even applies to some of the few police agencies that have set minimum education levels for supervisors. While a college degree may show that an employee, or in this case a supervisor, may be committed to an end, it may have little effect on the employee's capability of supervising effectively within the police agency.

The benefit of education, as it relates to the effectiveness of a supervisor, may be the process that education uses, which teaches the student (supervisor) the ability to reason out a problem, research it, and then develop a solution. Also, higher education covers general topics, which may be applicable to the students (supervisors) and help them deal with diverse issues. A higher education degree deals with the generalities even in the profession of policing. More specifically, education serves the student, or supervisor, while training serves the job.

Training must be required for supervisors whether they possess higher education degrees or not in order to focus their existing knowledge on the specific duty or function, which will provide them with the tools to perform effectively for their police agency. According to Thibault, Lynch, and McBride (1995), "A first line supervisory training course must provide the knowledge and skills needed by the supervisor to function effectively, efficiently, and professionally" (p. 198). This training begins with the first-line supervisor but must continue through the mid-level and upper-level management. If this training is not uniform across the board, then a supervisor who has not benefitted from the training may not be able to perform up to the standards of the police agency. As supervisors' duties are changed within the police agency, such as assignment or special duties, their training needs will also change. An example would be a supervisor who has worked in patrol for 3 years and then becomes a supervisor in the investigations section. This supervisor will need additional training to apply his supervisory skills in the new area. He will need more training in time management, handling caseloads, dealing with plain-clothes detectives, and major case investigations that were not required when he worked in patrol. A supervisor taking on a special detail like management of a bike patrol or motorcycle patrol would obviously need training related to the management of those details.

Management styles will vary from supervisor to supervisor. In most police agencies, this is due to personality more than ability. Many newly promoted supervisors do not understand that various management styles exist. They have either watched the style of a supervisor they respect or have developed a style from other duties, perhaps even outside the police agency. The more knowledgeable supervisors are in different

management styles, the more they can adapt and supervise a variety of subordinates effectively. Depending on the subordinate being supervised—age, educational level, number of years in police service, number of years at police agency, training, and life skills—the more management styles a supervisor needs to know. A supervisor cannot use the same management style for all subordinates and expect the same results. This can become more complex when a supervisor changes shifts or is assigned to an investigative, services, or training section where he or she may encounter more subordinates. Each of these sections may require a more specialized subordinate and therefore a more specialized and trained supervisor. The style a supervisor uses to correct or manage a subordinate directly correlates to how that subordinate will react. If a supervisor only knows one management style, he or she will have difficulty dealing effectively with the varied problems involving subordinates. According to Geller (1991), “Some of these problems include how to improve a subordinate’s performance, work habits, attendance or work attitudes; how to handle employee complaints or overcome resistance to change; how to set and review performance objectives; and generally how to deal with subordinates” (p. 281). In order to effectively address these issues, supervisors must know different management styles.

The testing of candidates to become supervisors must be effective in ensuring that the best candidates are chosen. This is important at all stages of promotion but perhaps most important at the level of the first-line supervisor. Without the best candidates being promoted at this level, the future promotions to mid-level managers, upper-level managers, and police executives can be negatively impacted. Even training may not be enough to overcome a failed testing system; therefore, training should begin at or before this first-line phase. Some forms of training that may apply are field training officer, training officer, or instructor in a specialty. Officers who perform these duties can be evaluated on their management qualities at these levels. Some ways to evaluate officers for future promotion might be based on how they adapt to officers they train, how they organize, how serious they take their commitment to excel at their assignment, whether they are prepared, and whether they seek out more responsibilities. These may be the future supervisors if the police agencies testing process is effective. Police agencies need to look at this phase because all supervisors are trainers to one degree or another. It may be in a disciplinary function to correct a subordinate’s behavior, or it might include giving advice or guidance to a subordinate who desires to specialize within the police agency. According to Hale (1994), “Even though the responsibility of the supervisor in the development of subordinates may be only an informal one, it is no less important” (p. 341). The police agency cannot expect the supervisor to develop subordinates without providing him or her with the appropriate ability through training. Training is the key to providing the supervisor with these abilities.

Changes must occur as policing evolves. With the focus of policing shifting from reactive to proactive, police agencies are striving to serve the citizens in their respective communities. Each community determines what type of police agency they will have; however, it is the responsibility of the police agency to make sure that proper training is given to all levels of employees to accomplish what the citizens expect.

The need for change in supervisor training in police agencies is evident when the evolving roles of the police agency and policing itself are examined. As officers are hired with higher levels of education and require more training to perform their duties, supervisor training must stay abreast. There is no doubt that the officer of

today is more educated and trained and works more as a problem solver than a crime fighter. Officers have more resources and technology today, which assists them in the completion of their duties. As the changes of policing impact the duties of the officers, so does it change and impact the duties of the supervisors. The supervisor of today must be more resourceful, educated, and trained in management skills dealing with the new generation of officers. "As a key person in the education and training of personnel, the police supervisor must not only participate in the training of departmental employees, but must also be thoroughly familiar with what education and training are available outside the department so that he or she may properly function as a training counselor" (Melnicoe & Mennig, 1978, p. 230). The supervisory role, as it changes, places more responsibility on the supervisor. As stated, the supervisor plays a key role in the training of personnel or subordinates, but there has not been training at this level to assist the supervisor to meet these responsibilities.

"A modern, comprehensive training program aimed at sharpening the skills of all employees and preparing them to deal with emerging problems is not only desirable but necessary in contemporary society" (Hale, 1994, p. 337). The police agency today must look at reviewing its policy regarding training of officers but also first-line supervisors, mid-level managers, and upper-level managers. A study from the National Advisory Commission on Standards and Goals (1976) was published in the book, *Proactive Police Management* (Thibault et al., 1995). The study was conducted by the National Association of Chiefs of Police using 29 state police agencies, all the chiefs of police in agencies with more than 100 sworn officers, and a 20% national sample of those chiefs of police with fewer than 100 sworn personnel. The study identified 14 significant police management skills and asked the police executives to rate the importance of those skills from 0 – 10, with 10 being the highest rating. The findings were as follows:

1. Motivating personnel and maintaining high morale	8.7
2. Developing subordinates into an effective team	8.6
3. Relating to the community	8.4
4. Organizing agency personnel and functions	8.0
5. Administering internal discipline	7.9
6. Maintaining internal review and control	7.9
7. Communication with all levels within the agency	7.9
8. Establishing and communicating objectives and priorities	7.8
9. Forecasting, planning, and implementing agency activities	7.8
10. Resolving employee relations problems	7.7
11. Budgeting and fiscal management	7.7
12. Utilizing advanced technology	7.2
13. Coordinating agency activities with other organizations	7.2
14. Securing and managing grant-funded projects	6.2

The list shows not only the priority of these issues by top administrators but also provides guidance into what areas of training these administrators believed needed to be given to supervisors. Depending on the police agency, supervisors at the first-line level may or may not be involved in budgeting, but they would be involved in motivating personnel. In another police agency, a mid-level manager (i.e., lieutenant) may deal with developing subordinates at the level of officer and budgeting but not participate in securing or managing grants. According to Thibault

et al. (1995), "The study of this list of skills would, indeed, make a fine curriculum for a modern police management academy" (p. 82). These priorities may not be ranked the same for every police agency; however, they all are important aspects, which require attention. Supervising abilities as they relate to these priorities are also not inherent characteristics found in supervisors. The supervisor may need training in one or more of these issues. In order to address these areas with any consistency, police agencies must consider measuring the level of their supervisors and providing training. Police agencies must also evaluate their priorities to provide the necessary training in an ever-changing field. On the list of priorities, the use of advanced technology was ranked near the bottom. Considering that the study was completed in 1976, it is apparent that technology needs have changed and therefore, the ranking of this topic might be different today. While motivating and developing subordinates may remain high on a study conducted today, the way in which this is accomplished would certainly have changed. This study dealt with subordinates in the Baby Boomer era; today's employees come from Generation X and Generation Y. These new subordinates do not respond to the same management techniques as the Baby Boomers. Today's subordinates are driven by different factors, which affect how they are managed. Without identifying this issue and then training the supervisors, police agencies would find it difficult to successfully manage these subordinates.

Another issue not addressed in this study was community-oriented policing. The 14 priorities listed would have to be dealt with today according to the impact they would have in this area. Several of these priorities have an impact directly on community-oriented policing (i.e., budgeting, relating to the public, and coordinating agency activities). Other priorities, although not directly related to community-oriented policing, would also be impacted (i.e., securing and managing grant-funded projects; utilizing advanced technology; and forecasting, planning, and administering agency activities). After determining the possible impact to community-oriented policing, training would have to be developed to address these priorities so as to maintain the balance of the individual priority. It would then have to be determined how they would affect the mission of the police agency.

Once the need for supervisor training minimum standards has been established, the standards must be set up. "One method of incorporating a progressive training philosophy into the operational mainstream of a police agency is through the development and establishment of minimum training standards for various positions and assignments within the agency" (Hale, 1994, p. 339). Clearly, Hale was addressing the training philosophy for the entire agency; however, it does show that a "progressive training philosophy" must be established. This would include determining, establishing, reviewing, and evaluating the training offered in order to refine it. Without this progressive training philosophy, the effort of establishing training would be wasted. For example, look at the previous top 14 priorities determined by the National Association of Chiefs of Police in 1976. It is clear that there would be changes since it was conducted in 1976, and more changes will inevitably occur in the next 25 years. A progressive training philosophy should address those changes and assist police agencies in maintaining standards, which will also require change.

Any police agency that strives to provide good training for their supervisors must first look at what the agency believes is the minimum standard for that supervisor position. This can be accomplished by looking at the mission of the police agency

and the requirements to accomplish that mission. Reviewing other police agencies' requirements or minimum standards could also be helpful. Once a police agency determines what standards it should adopt, the current supervisors must be surveyed to determine what level of education and training already exists. The police agency must take into account each supervisor's assignment, which may have a separate set of minimum standards. Once the supervisors have been surveyed, a training program could be established through various training agencies, such as Mobile Team Training Units (MTUs), private industry, local colleges, training associations like the American Society for Law Enforcement Training (ASLET), the Illinois Law Enforcement Training and Standards Board, etc. Police agencies who belong to MTUs could form a committee to determine their training needs in relation to other members and then set up a training course based on the needs of several agencies. This allows the shared cost of the courses and provides similar training to agencies that work closely together. In the event that the police agencies could agree on a specific course, such as a police command school offered by the Northwest Traffic Institute or the Institute of Police Technology and Management, the police agencies could have those courses brought to the MTUs. The shared cost is only one benefit to this process. The ability to send supervisors to a local MTU also benefits the police agency by reducing the cost of meals and housing for supervisors who are sent away for the same training. Once training begins, the police agency must monitor the training, especially if it is though an outside source to ensure that the training meets the minimum requirements and is, in fact, adequate for the needs of the agency. Learning New York City Police Department methods may not be applicable to a police agency in the Midwest.

Police agencies must also consider the length of time between supervisor training. A first-line supervisor may have attended a basic police supervision course 15 years ago. While the training may have been adequate then, it may not be adequate today, especially with the adoption of the community policing philosophy. There may be other components that would be necessary today that were not taught in the original course, such as budgeting or grant management. If the training occurred too long ago, the supervisor may not remember components that might apply. That same supervisor attempting promotion to a higher rank may have a disadvantage to a supervisor who attended more recent training that incorporated newer concepts. The issue is not only one of fairness to the supervisors, but also of supervisor effectiveness.

Once the minimum standards are determined and in place, training can begin for those supervisors requiring it. After the training, the supervisor should provide feedback to the police agency in the form of an evaluation of the training received. This way, the police agency can determine whether the needs of the supervisors and the agencies are being met or whether the training needs to be adjusted. A follow-up survey should be conducted at a predetermined length of time after the training to ensure that the training was useful in the long-term for the supervisor. This will also help provide the police agency with an early warning system that the training may need to be adjusted or changed depending on the actual needs of the supervisor and the agency. Agencies should periodically review their minimum standards and the effectiveness they have on meeting the mission of the agency. This becomes more crucial when no new supervisors have been promoted over a long period of time. The time to determine that a police agency's minimum standards have changed is not after making a new promotion but before it. This periodic review will assist

the agency in changing its training to meet the needs of the agency in all areas, especially as it relates to community-oriented policing.

As the training standards for supervisors are established, the quality of supervisory skills will increase. The obvious benefit to the police agency is that a well-trained first-line supervisor results in a more qualified candidate for promotion. Well-trained supervisors will also be more prepared to manage the subordinate of today and tomorrow. They will be better equipped to assist the police agency by identifying a potential problem before it becomes worthy of prime time news. The early detection of a potential problem will result in resolution before the problem becomes a major one for the police agency. Supervisors will also be more prepared to change as the profession of policing changes and consequently provide better service to those they serve.

According to Iannone (1980), "Developing subordinates to take over in the boss's absence involves training . . ." (p. 27). In many ways, this is true in police agencies today. Good supervisors try to let their subordinates make decisions and become better in order to reduce constant supervision. This begins the process of training the subordinate as their replacement. Even though this subordinate may not be their replacement, they may be one of the candidates for the position some day. Without this ongoing effort of allowing subordinates at every level the opportunity to "fill in for the boss," police agencies would have a much harder time selecting personnel for promotion.

"The art and style of proactive leadership is based on talent, experience, training, and formal education" (Thibault et al., 1995, p. 98). The police agency must identify the training and set minimum standards in order to accomplish this proactive leadership role. Police agencies must adapt to provide supervisors with a set of minimum standards for training that will give them the tools they need in the ever-changing field of policing. As police agencies adapt to meet the needs of the citizens they serve, there is a need for standards in supervisory training to ensure that the mission of the agency is moving in the same consistent direction within the personnel of the agency.

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# Supervising “The Problem Employee”

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## Summary

This article is designed to identify the problem employee in the workplace, and the following topics will be examined: different types of problem employees, how supervisors address problem employees, and the ramifications these issues have on the organization and other employees. Every police department experiences problem-employee behavior due to the nature of police work. Problem employees do exist in all occupations, but it appears that police officers are unique in this respect. When police officers are first hired for any municipality, employers assume that this individual will be employed with them for the next 20 years. Initially, police work can be exciting, but after the honeymoon is over, reality sets in; the thrill is gone in police work, and it becomes a regular job. Some police officers refuse to advance and may develop bad habits from other officers; these signs could be the beginning of a problem employee. The three problem employees discussed in this article are (1) the chronic complainer; (2) the procrastinator; and (3) employees who have emotional outbursts in the workplace.

Being in the law enforcement field for the last 29 years, I have found that supervisors face these types of employees on a daily basis. The complainer whines to the point that he or she procrastinates doing police work. The supervisor takes steps to correct the problem employee of the bad habit, and the employee responds with an emotional outburst in the workplace.

This type of employee will cause a cancer throughout any police organization, starting with the patrol officer and up the chain of command. Police administrators must have direct communication with their first-line supervisors to prevent this kind of behavior.

As society grows more technologically advanced, police work is becoming more technical for street officers. Squad cars have computers; reports are now computerized; and certification for officers using this technology is required. In the law enforcement field today, more police training is required for the first-line police officers. Yearly ongoing training programs are required (e.g., certificates of nonlethal weapons, pursuit driving schools, firearm qualifications). Problem employees like additional work when it involves their own time. When you speak with police administrators, they say that more ongoing training programs will save the community of all kinds of civil liability through the risk management insurance companies that provide the insurance coverage for the municipality.

Today's police administrators are looking for the non-problem employee by competing with other local and federal agencies to recruit from local colleges and universities. Given the lower pay structures of small police agencies, it becomes difficult to compete with the larger agencies when it comes to recruiting. Police administrators are spending time and money to recruit candidates with previous law enforcement education. As far as police testing, things are changing; at our recent police orientations, we recruited several former military veterans. Military

candidates have more discipline when it comes to taking directives from supervisors and in most cases, are not problem employees.

## Literature Review

Every police department has the same problem: supervising the problem employee. On occasion, there may be a very small group of problem employees. When researching the police departments in the western suburbs of Chicago that have had problem employee situations in the past, it is evident that communities like the Township of Cicero, the Village of Lyons, and the City of Oakbrook Terrace experience the same types of problem employees regardless of department size. It has become very apparent to us as police supervisors who have supervised smaller police agencies that only a select few individuals can affect the performance and morale of follow employees.

Police managers supervising personnel in the 21st century face a major task in supervising Generation X. In most cases, first-line supervisors like sergeants and watch commanders are affected the most by Generation X employees. When you have a mixture of different generation groups and personalities within any police organization, there will be problem employees in both groups. The real problem is that they don't understand each other's ways of thinking. Both groups are from two different cultures with different sets of objectives and goals. Some members in the department may think that the supervisor is being too critical or biased in the estimation of the number of problem employees within the department. Through interviewing various employees and supervisors throughout the Oakbrook Terrace Police Department, the majority agree that our estimations are fairly accurate. First-line supervisors may ask police administrators why these problem employees are not just fired or demoted.

First of all, we have to consider the amount of money invested in each of these employees. In addition, all of the employees are civil service and protected by the Illinois Police Officers' Bill of Rights and/or are members of a Union Collective Bargaining Unit. Unlike the private sector, they are somewhat protected from just being fired, especially in minor problematic instances for which there are not several documented recurring incidents. Finally, most patrol officers are contract employees and are represented in most cases by collective bargaining union attorneys. This protection has only caused headaches for the police administration.

The problem employee issue in today's police agencies should be addressed and corrected before the department loses its professional image, morale, and the public's confidence.

## Hypotheses

Albert Einstein (1938) said it well when he made the statement, "The significant problems we face today cannot be solved at the same level of thinking we were at when we created them." Recognizing these growing problems within the Oakbrook Terrace Police Department as well as having supervisors in the group, we realized that an accurate diagnosis of the department's ailment was needed to stop the growing rift. A passage from a book called, *Leaders: The Strategies for Taking Charge* (Bennis & Nanus, 1985) set the tempo needed for redirection:

Individuals learn as part of their daily activities, particularly as they interact with each other and the outside world. Groups learn as their members cooperate to accomplish common goals. The entire system learns as it obtains feedback from the environment and anticipates further changes at all levels; newly learned knowledge is translated into new goals, procedures, expectation role structures, and measures of success. (Bennis & Nanus, 1985, p. 1).

The information contained herein will provide a plan to help identify problem employees and modify and effectively manage their behavior. We need to stop and realize that at least 90% of the messages that people send are not communicated verbally but by posture, facial expression, gestures, tone of voice, etc. These nonverbal messages express and shape attitudes and feelings towards others. We need to put ourselves in the place of others to understand what motivates their behavior. An understanding of some of their internal cultures can usually explain the reason why some situations develop the way they do (Bennis & Nanus, 1985).

We must understand that "Simply mixing culturally different people together does not resolve misunderstandings and conflict. Quite the contrary, differences usually become more apparent and hostilities can actually increase during encounters between culturally diverse individuals" (Adler, 1991, p. 104).

Most employees do nothing when they have a problem themselves or have a problem with their boss. Why do so many employees do nothing in the face of such bad treatment by their agency or boss?

Well, when you really think about it, nobody really does "nothing" when they have a problem. Frightened and scared by the risks of someone taking positive action against them, they will do one or more of the following:

- Start complaining to everyone that will listen to them, except their boss.
- Start commiserating with fellow employees who feel the same way.
- Internalize their pain.
- Slack off in performance.
- Escape from their problems and what they feel is the cause.

There are several different types of problem employees. I have chosen to list the most frequently encountered problems that have the most negative impact on our departments:

- The chronic complainer and whiner
- The procrastinator
- Employee who has emotional outbursts within the workplace

The wide array of management literature on the market can present helpful solutions to some of these problems. Many of these techniques will help supervisors and administrators within our departments to correct and modify problem employees' behavior; however, there are a few employees that cannot be helped regardless of the management technique employed. The following guided approach is designed to help supervisors and management overcome and eventually correct the behavior of problem employees.

## **Discussion**

What is a problem employee? Is it the same as employees with problems? Employees with problems are those workers who are occasionally difficult; this affects some of the people around them. Problem employees, on the other hand, are those workers who consistently and habitually behave in very different ways, which affects most of the people around them. The first, and probably most important, point of discussion should be identifying problem employees.

### **Problem Employees Are Not a Clearly Identifiable Group**

Problem employees are not easy to identify. They could be male, female, young, or old. Supervisors may think that they are able to pinpoint the problem employee, but is the employee actually the problem? Maybe the supervisor is the problem. Whether a person is a problem employee is determined by many factors. The following are important factors that will help supervisors identify problem employees.

#### ***Who Is the Boss?***

Most supervisors differ in their assessments of problem employees. An employee that one supervisor may view as a problem employee may be viewed as an “ideal” employee by another manager in the same organization. Sometimes the boss may be the problem. In this situation, the employee is only responding to his or her boss’s poor management. Why is it that some bosses constantly have problem employees? Is it just bad luck? Maybe the bosses are doing something to contribute to the problem employee. Sometimes the supervisor has the problem, not the employees. One saying is “problem bosses bring out problem employees.” When a supervisor contributes to the problems of problem employees, it does not necessarily mean that he or she is a bad supervisor. Most of the books and articles we read do not paint a realistic or accurate picture of supervisors, but if you were to construct a variety of different types of supervisors using the following list, you would surely recognize some individuals known to you by their description.

#### ***Incompetent Supervisor***

Incompetence is discussed by Dr. Lawrence J. Peter and Raymond Hull (1969) in *The Peter Principle*. The principle is as follows: “In a hierarchy, every employee tends to rise to his or her level of incompetence” (p. 25). Applying this principle to supervisors, Peter and Hull say “nothing fails like success” (p. 26), which is what happens when a competent employee becomes the supervisor; “competent followers show high promotion potential in the lower ranks, but eventually reveal their incompetence as supervisors” (p. 27).

#### ***Slipping Supervisors***

Nathaniel Stewart (1974) argues that employees should help bosses/supervisors who are “slipping.” He profiles a number of supervisors, some of whom can be helped and others who can’t. Among those who can be helped are the nice-guy supervisor, who is overly agreeable, afraid of conflict, unassertive, and can’t say no and the panic-button supervisor who is frantic and excitable and lives from crisis to crisis. Panic-button supervisors drive employees nuts because they’re completely

disorganized, can't or won't plan or set priorities, and always act like they're under the gun. The commandants cannot be helped and are very easy to spot. They're autocratic, authoritarian, and tyrannical. They are the bullies of the workplace. They use their power and biting tongues to get their way with employees. The petty bureaucrat supervisors worship the organization and its policies. They love detail and paper work. They're rigid and cautious and don't do anything that would upset their supervisor (Adler, 1991).

These supervisors are preoccupied with the unfair hand they have been dealt. They know they're not going anywhere; their employees know it too. They end up having a deadening influence on every employee who works for them.

### **Deviant Boss/Supervisor**

Psychologist Andrew Dubrin's 1976 book, *Managerial Deviance: How to Deal with Problem People in Key Jobs*, was written for administrators who have deviant supervisors working for them. Deviant supervisors include alcoholics and drug abusers; sexual exploiters; male or female supervisors, who use their authority to cajole or intimidate employees; AWOL supervisors, who are frequently away from their assignments and employees; and pathological liars, who would lie to achieve their goals and escape problems and conflict. Unfortunately, they catch their employees as well themselves in the tangled webs they weave when they are deceptive.

### **High Tech Boss/Supervisor**

Maccoby (1976) identified four types of problem supervisors: (1) the craftsman, (2) hard working, (3) independent, and (4) perfectionist. Some supervisors are democratic and open to new ideas; others are intolerant and authoritarian.

The Jungle Fighter supervisors are power hungry predators who like to instill fear. They see people as either accomplices or enemies. There seems to be two types: (1) "Lions," who conquer and build empires and (2) "foxes," who make nests and get ahead by stealth and politicking. The Company Men are functionaries whose identities stem from being part of a powerful, protective company. The Gamesmen are the fast moving, competitive, risk takers who love "the game." Some are enthusiastic, inspirational leaders, but others are pushy and overwhelming. Gamesmen tend to be impatient with and intolerant of anybody who is different from them (Maccoby, 1976, pp. 54-56).

### **Intolerable Supervisor**

Lombardo and McCall (1984) reported in their in-depth survey of 73 "highly successful supervisors" that almost 75% of participants said that they had suffered under at least one impossible boss. Some of the types of intolerable bosses they described are as follows:

- Heel grinders – It is very unusual for a heel grinder to go more than a few days without belittling, demeaning, or humiliating at least one employee. These types almost seem to enjoy inflicting pain on people.

- Egotists – Egotists might be described as know it alls, blowhards, or pompous asses. They're easy to spot. If you got a good idea, they've got a better one. If you've got a good story to tell, they can top it.
- Incompetents – Incompetents don't know what's going on but act like they know exactly what they're doing. Employees resent them for posturing and for all the extra work their ineffectiveness creates.

### ***Tough Supervisor Boss***

In June 1981 and August 1984, *Fortune* magazine ran articles called the "Toughest Bosses in America." This is a sample of one of those bosses: He conducts meetings so aggressively that people tremble. He attacks subordinates almost physically, criticizing, demeaning, ridiculing, and humiliating when he feels like it for no apparent reason.

First, being a supervisor is not an easy job for anyone to do. Supervisors and administrators are constantly working with very different styles and personality types. In addition, most supervisors are supervisors not because of their ability to manage people but for other reasons like technical skill or good record as an employee (and probably have clout). In most cases, supervisors are tossed into the job with little or no management training. The majority of their training is done on the job through trial and error.

### ***Who Is the Employee?***

All employees have distinct personalities. Some are hard workers, and others are lazy. For every employee that is cheerful and positive, chances are you will have an employee who is just the opposite. Why is it that some employees are wonderful to work with while others are a pain in the neck? Well, there is a good chance that these pain-in-the-neck employees were pain-in-the-neck kids for their parents and pain-in-the-neck students for their teachers, and thus, through habit, matured into pain-in-the-neck employees.

### ***What's the Structure of Our Organization?***

People have different personalities, and so do organizations. Some organizations are great places to work. Administrators will go to great lengths to make every aspect of the organization enjoyable for all employees. On the other hand, some organizations are terrible places to work. The managers are selfish and have no concern for the employees who work there. The work environment is nasty, and every benefit must be pried out of the administration. For obvious reasons, these organizations have more problem employees.

### ***Problem Employees and Their Abilities***

The behavior of negative people in the workplace can create stress, provoke minor illnesses, and even cause depression among coworkers according to Dennis Whittaker (1983), a psychologist in Charlotte, North Carolina, who specializes in corporate psychology. Negative employees seem to spread their negative behavior traits to others, which can be costly to the department's productivity. Whittaker says

that such problems can be best detected through hire. New employees often start out enthusiastic and positive, but their attitudes mysteriously change within a short time, often because of a negative work environment (Yarborough, 1983).

Your problem employee may be smart, capable, and even your best employee. Even though he or she has the abilities, he or she is for some reason a problem employee. Most managers have said that these employees lack motivation, have poor attitudes, and really do not care about the job. These employees must be controlled, or they can spread unrest through an organization. Managers must seek out the skills of the problem employee and utilize them to benefit the organization. All of the above examples just go to show that problem employees are not as easy to recognize as one might imagine. There are many factors to consider when attempting to identify a problem employee—not just the employees themselves. The next section will give supervisors some insight on identifying a problem employee.

### ***Why Problem Employees Are So Difficult to Identify***

There is no proven method for identifying problem employees. Most bosses feel that they know who their problem employees are but fail to recognize when an employee really is a problem. We suggest that some of the reasons for this are as follows:

- *Sometimes managers and supervisors do not want to admit that they have a problem.* When bosses admit that they have a problem, they feel that they are inadvertently saying that they are not good supervisors or managers.
- *Some employees are so effective in some areas that their bosses overlook or downplay their weaknesses.* An example of this would be the officer who always seems to be making outstanding arrests but fails to follow policy or proper procedure in making those arrests. Overlooking these weaknesses is a big mistake.
- *Many supervisors accept the fact that some workers are weak in certain skills or habits.* These supervisors do not see this as a needed area of improvement but rather a fact of life.
- *Sometimes supervisors overlook weakness because the employee is a friend, family member, or just a nice person.* This can occur in any field of business. It is understandable, but nonetheless, wrong.
- *The employee is slick.* Some employees may be good at forming a good impression with the boss and still not turn out much work. This is very common in all business areas.
- *Supervisors/managers get too busy in their own work.* Supervisors/managers are too busy to be able to effectively supervise their employees. This is where effective delegation plays a big role.
- *Some bosses get “involved” with their employees.* Whether physical or emotional involvement, this will have a tendency to distort the effectiveness of the employee.



In every organization, one could ask the manager who his or her problem employees are, and he or she would rattle some names off with very little thought. But how does a supervisor or manager notice the not-so-obvious problem employee? You know, the one that would never come to mind while discussing this topic.

The most frequently encountered problem employees were listed previously in the article and were identified through research, questioning various members of the departments, and observations. First, I will briefly re-identify the problems and then elaborate on the causes and characteristics of each of them. Then, I will discuss methods—some learned through research and others through experience—on how to manage the problems listed.

### **Complainer/Whiner**

The first type of problem employee is the complainer/whiner. Any organization has a few of these on hand. They are the ones who don't like this or don't like that. They have a complaint about everything—even things that they have requested. One management psychologist said that this type of person usually has been griping for a long time, longer than they have been working for you. Many employees spend a lot of their time complaining about their problems and their bosses to other people who aren't really in a position to do anything about their problems. The people are the bartenders in the bars they visit, their friends, and their spouses. It's ultimately a waste of time and energy, for chronic complaining is a turn off to most people.

Generally, most supervisors and managers will see the complainer as an unwilling worker or one who does not like his or her job. In most cases, however, the complainer is one who is usually, but not always, competent in his or her job.

### **Possible Solutions to the Complainer/Whiner**

Unfortunately, you can't please all the people all of the time. Some workers never seem to be satisfied. Some supervisors and managers always seem to be the ones who get complaints. Maybe the best solution should be to develop a deaf ear to those who constantly complain. The following are some solutions for dealing with the chronic complainer:

- *Listen before you speak.* The majority of the time, the chronic complainer will not have a legitimate gripe. The majority of complaints received are either about unimportant matters or about personal matters of the complainer. Granted, personal matters may be important to the complainer but really should be left at home. Remember being too good of a listener encourages chronic malcontent, which monopolizes more of your time.
- *Challenge the word unfair.* Many of the complainers use the word *unfair*. When this first occurs, an anecdotal dialogue is presented regarding distrust, apathy, and politics in the workplace. People are judged according to formal and informal company policies, many which are erroneous but nevertheless part of the company fabric. Such judgements can lead employees to feel that their actions conflict with common sense, which in turn can lead to feelings of apathy or a "blame someone else" mentality.

Be an up-front boss; you have to be self-confident; you should have nothing to hide. If an employee complaint focuses on something beyond your control, say so. Do not use the "I'll get back to you" approach. This will only build false hope, and then, you have to deal with the problem at a later date. If the supervisor or manager cannot solve the employee's problem, tell the employee this, and guide him or her in the right direction through the chain of command.

### ***Promote Teamwork***

Teamwork is the key to any successful organization. Complainers will always damage the team if allowed to complain constantly. Remind the employees what a team stands for; together everyone achieves more. If they cannot adjust to this thinking, they will have to be reassigned for their own benefit.

### **The Procrastinator**

Dealing with a procrastinator is not easy. This type of person will go out of his or her way to do nothing. In most cases, the procrastinator will spend more time trying to figure out how not to do the work than it would have taken him or her to actually do the work. Procrastinators are good at what they do. Most of them have been like that all of their lives. Procrastinators continually put off doing work assigned, make up reasons why it is late, and usually miss important deadlines. One of the goals of the procrastinator is to put off the work for so long that the supervisor has to either do it themselves or delegate it to someone else who will get it done. Their ultimate goal is to put off work so long that when a new assignment comes in, the supervisor is afraid to give it to the procrastinator for fear that it will not get done.

### ***Solutions to the Procrastinator***

Allow control by giving the employee some control over the project; it will take away the control the procrastinators get for delaying. Instead of telling the employee that you want the report by a certain day, tell him or her when your deadline is, and ask the employee when he or she will have the report on your desk. This allows the employee to have control over when the project actually gets done but allows for it to be completed before your deadline.

### ***Teach New Approaches***

Many procrastinators budget their time poorly. Procrastinators overestimate the amount of time needed to complete a project. Perceiving that there is just too little time to do a good job, they put off starting the project at all. The procrastinator needs to be told at the start of the project that there is adequate time to complete the project as long as he or she plans and organizes well.

### ***Offer Help***

Because procrastinators are poor organizers, they may occasionally need some guidance. As a supervisor, your main goal is to supervise your employees. If you see that the procrastinator is having trouble or just putting off a project, offer assistance or get that employee some assistance. This is not only a good way to keep an eye

on the employee, but it shows the employee that you are concerned with him or her as an employee, and it will boost his or her morale.

### ***Reward Timeliness***

This can be the most effective method to getting the work done on time and to have continued success with the procrastinator. If the procrastinator can see a real payoff for getting the work done on time, then chances are it will be done on time. If he or she hands the work in on time and the supervisor just looks at it without comment, the employee may have a “who cares?” attitude next time. Rewards can be anything from a compliment to special recognition with the department. Always remember that positive rewards stimulate positive behavior.

### ***Do As You Say***

Sometimes the supervisor is a procrastinator. This would make it much easier to identify with the procrastinating employee, but chances are, you will not be able to influence that employee’s behavior. Employees like to model their bosses. If you have a habit of procrastinating as a supervisor, you will probably not be able to influence your troops in this regard until you can straighten out your act.

### ***Employee Emotional Outbursts Within the Workplace***

This topic should interest all supervisors. It would seem that emotional swings should not affect employees while in the workplace. Sometimes emotions take over, regardless of where an individual is. When employees have an emotional outburst in the workplace, it usually disrupts the operations of that agency and cuts down on the productivity. A potential situation in which outbursts may occur is sending an officer home halfway through his or her tour of duty. This places a tremendous burden and danger factor on the other employees/officers. Another example would be speaking to an officer regarding his or her work performance. The employee may start getting a negative attitude and become so upset that he or she is basically useless for the rest of the shift.

### ***Internalizing***

Some people internalize their pain and don’t share it with others. They hold it in; they let it eat away at them. They accept the unjust criticism and abusive treatment problems in their agency and from their bosses. They begin to believe that they deserve it. Employees who internalize keep their pain hidden where it can do severe damage in the forms of chronic depression, ulcers, and years and years of needless unhappiness. Slacking off is one of the most common forms of doing nothing. A lot of employees use booze, drugs, or television to numb the pain and escape from their problems temporarily, but these escape routes don’t work in the long run.

### ***Solutions to Emotional Outbursts***

I will briefly describe some emotional outbursts I have seen in our agencies and identify some solutions to these problems.

## ***Feuds in the Workplace***

Supervisors can prevent feuds by watching their employees to see who gets along and who doesn't. If a supervisor notices signs of a feud before it occurs, he or she should ask him- or herself whether the employees can be separated. Will the employees still be productive if separated or moved to another area of assignment? If a conflict should erupt, supervisors should not take sides or make a decision until all the facts are gathered. Taking sides could greatly jeopardize the supervisor's own effectiveness if prior to the feud he or she had the trust of both employees. If all possible, allow the employees to work out the disagreement themselves. The supervisor should only judge the issue, not the people involved. Keep personalities out of the process if you have to make a decision as a result of a work-related feud. One common mistake supervisors make during an employee feud is attempting to speak for, or rationalize for, the other employee. Don't get caught doing this. This will only complicate the matter. The last thing a supervisor should do during a feud is to concentrate on the employees' behavior, not their feelings. If you must step in to get the employee "back on the ball," then do so; however, do not try to influence the employee's feelings. Advise them that you insist that their behavior does not affect their effectiveness. Your job as a supervisor during a feud is mainly to make sure the effectiveness of the employee is not lowered. Make it known to the employees how their behavior is adversely affecting others and therefore, affecting the organization. If you must make the decision in a feud, gather all the facts, decide what is best for the agency, then announce your decision to both parties and stand by it (Goldratt, 1992).

## ***Harassment in the Workplace***

George (2001) contends that conducting a harassment or discrimination investigation can be a challenge. Police professionals must understand the legal issues, the role of investigators, the planning procedures, and other issues that can arise. Some complaints of harassment in the workplace may involve criminal behavior, such as assault, battery, and stalking. When these types of complaints are reported to police supervisors, they should take action by reporting the incident to their superiors and completing an investigation. Superiors may take criminal action with the problem employee, or depending on the nature of the incident, they may recommend counseling.

## ***Discipline***

Shuman (2002) contends that the key to solving an employee's behavior problem is to remain involved as the primary party who will implement the solution. Supervisors who handle problems directly will grow in standing in the eyes of subordinates. As any serious leader knows, whenever you take a team member's problems and put them on someone else's shoulders, you have given away the best chance for solving the problem. The line supervisor is the person with whom the employee deals on a daily basis. Employees are constantly looking up the ranks for justice. Supervisors who handle problems directly will grow in standing in the eyes of subordinates. It will be the supervisor's attitude about the behavior and response to it that will ultimately determine whether the problem behavior ceases. If the employee does not sense that the behavior offends the supervisor, the old patterns are unlikely to change. If the supervisor displays the right attitude about the behavior, teams will

become more cohesive, and peer pressure and personal pride will help to curtail disruptive behavior.

## Interpretation and Summary

Every agency is bound to have its fair share of problem employees. The three that we discussed throughout this article—the complainer, the procrastinator, and the employee who has emotional outbursts in the workplace—are the most prevalent in any police department.

We learned that identifying a problem employee is not as easy as one may think. Many factors should be considered such as the boss of the organization and the employees themselves. By utilizing the problem employee questionnaire, supervisors and administrators will have a method to help them identify the not-so-obvious problem employee. When identifying a problem employee, the supervisor must clearly distinguish between a problem employee and an employee with problems. Distinguishing between the two allows the supervisor/administrator to decide which course of action to take. Problem employees can affect an agency in many ways. They are usually less productive, use more sick time, decrease morale, and have a lost-time rate six times greater than non-problem employees. When it comes right down to it, problem employees can cost an agency about 25% more than non-problem employees.

By using the examples mentioned during the course of this article, supervisors and administrators, especially in our departments, should be able to curb some of the mentioned problem employees. It should be noted that the employee also must work to become a better employee. Those employees who do not want to change won't. Supervisors/administrators can influence behavior but cannot force change.

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# Issues and Concerns in the Privatization and Civilianization of Public Police Agencies

**Raymond E. Arthurs, Jr., MS, Chief of Police, Northbrook Police Department**

In order to fully understand the differences between privatization of policing and civilianization of some police functions, it is necessary to provide a clear definition of the terms.

Policing can entail a countless assortment of functions and services, ranging from conventional law enforcement responses in the form of criminal investigation and arrest to crime prevention activities and attempts to improve more general quality-of-life aspects of the community. Policing has been defined generally in terms of its domestic peacekeeping role. Privatization occurs typically on both the revenue raising side and on the spending and production side, without any government involvement. It can, however, exist on the production side alone as frequently occurs when public funds are used to purchase the services of private agents. When privatization occurs on the production side alone, local, state, or federal governments may contract with private sources for such specific services as the following:

- Court security
- Prisoner custody
- Computer and communications system maintenance
- Training
- Laboratory services
- Radio dispatching
- Video surveillance
- Traffic and parking control

Civilianization refers to a law enforcement agency hiring nonsworn personnel to replace or augment its corps of sworn officers, typically with the goals of reducing costs and improving service. Civilians are employed as communications specialists, criminalists (e.g., crime scene technicians, forensic laboratory scientists, etc.), computer specialists, lawyers, and a host of other support positions (Frost, 2000).

The shift toward privatization and civilianization that occurred toward the end of the 20th century have been both sudden and sharp, especially when viewed over the nearly 200 years since the creation of the first metropolitan police department in London. The number of people employed in private security jobs began to surpass the number of sworn officer positions in the 1960s, and this numerical advantage continued to grow in the years that followed. While some tradition-bound police executives have been reluctant to transfer a variety of support functions to civilians, it has become increasingly clear that civilians tend to perform certain specialized roles more effectively than sworn



officers, who are selected and trained as generalists and then rotated from one assignment to the next accordingly. (Frost, 2000)

Recognizing that the concept of privatization is continuing to grow in the public policing field, there is a need to balance conflicting interests.

A more general concern is whether police departments should form new links to private ventures and how these can be achieved. Consider the potential conflicts that can arise when a company hires a private firm to investigate possible drug trafficking or drug abuse among its employees. If the public police are not informed, such initiatives not only risk compromising ongoing police investigations but may deny the police important information they need to do their job well. On the other hand, if the public police do become involved, are they lending their credibility and potential liability to enterprises over which they have little, if any, real control? Are private initiatives serving a new niche in the market, or filling a vacuum that the public police should be providing? Does this portend a future where those who have the option choose to ignore the public police in favor of hiring private firms to provide them as much help as they want and can afford? Will taxpayers therefore become increasingly reluctant to support public services that they perceive as primarily serving the poor? (Trojanowicz & Bucqueroux, 1990)

The police can choose to see the increasing privatization of public justice as either a threat or an opportunity to move ahead and form new partnerships with private industry. These significant changes facing the public police profession cannot be overstated. The decisions about how to best contend with increasing privatization of public justice will shape the future of policing and the response to our communities in the future.

The growth of private provision of police support services is due primarily to the confluence of three factors: (1) an increase in citizen demands for police-related services, (2) fiscal limitation in the private sector, and (3) the rapid growth of the security industry as a whole. Perhaps ironically, the involvement of private security companies in supplying police support services has grown in response to the same citizen demands that led to the replacement of private law enforcers by public police departments over a century ago. (Chaiken & Chaiken, 1987)

It may happen that a group of residents or workers want some kind of response to their needs, even though they know that the problem is not important enough to be handled by police officers. Demands of this type might involve report taking, assistance to people or groups, or control of traffic- or crowd-related problems. City and county administrators might well want to comply in some way with such requests. (Chaiken & Chaiken, 1987)

Priorities for performance of police work are now established by department policy, not by individual citizens desiring a particular service. For example, many departments are now screening calls placed to the police emergency phone number and defining differential responses based on the nature of the call and other surrounding circumstances (e.g., the current workload of the patrol force or the time of day). Some nonemergency calls may not receive

the dispatch of a patrol car. Generally, citizens understand if their requests for police services are not really important in comparison with other more pressing needs, such as responding to robberies. (Chaiken & Chaiken, 1987)

Which specific types of public policing services can be privatized and contracted out? The types and levels vary greatly.

As with a number of other public services, contracting out of police services began with support services and later certain auxiliary services. For example, police departments in many parts of the nation contract out for vehicle maintenance. The contracting out of support services has occurred even in connection with more sensitive custodial responsibilities of police and sheriffs' departments. (Bowman, Hakim, & Seidenstat, 1992)

The contracting to private companies of municipal police services including communications and dispatch, as well as traffic and parking control, has been successful.

Contracting out line law enforcement activities is an obvious second level of police services contracting. For example, San Diego, Los Angeles County, and Norwalk, California, and St. Petersburg, Florida, have contracted out some public parks patrols. Private security guards also provide protective services in Candlestick Park in San Francisco and Giants Stadium in New Jersey. Other jurisdictions have contracted for private patrol of crime-ridden housing projects including San Diego; Lexington, Kentucky; and New York. (Bowman et al., 1992)

At least six U.S. counties now contract with private organizations to manage local prisons, including Hamilton County, Tennessee; Bay County, Florida; Butler County, Pennsylvania; Hennipin County, Minnesota; and Aroostock County, Maine. In 1986, two states contracted out for the management and operation of state prison facilities—California and Kentucky. California's contract is for a minimum-security, return-to-custody facility for parole violators in Hidden Hills. Kentucky has gone a step further by contracting with a firm that owns its own site. (Bowman et al., 1992)

A third level of police privatization is contracting for regular or full police services in a given jurisdictional area. The federal government has contracted for full police services at its mercury test site operated by the Energy Research and Development Administration in Nevada and at NASA's Kennedy Space Center in Florida. (Bowman et al., 1992)

Another example, which involved an even greater degree of privatization, was that of the small town of Oro Valley, Arizona. In 1975, Rural/Metro Corporation, as part of a comprehensive public safety protection package (including fire protection and ambulance service), agreed to additionally provide full police services, including management and operations. It further agreed to establish a police headquarters and keep all records according to state guidelines for the police department and to supervise and assume all liability for conduct of its employees . . . Oro Valley, however, would fully control and have responsibility for the police force and would be able to override

Rural/Metro's authority at any time . . . The price for full police service was substantially lower than what it would have cost the town to set up its own public police force. (Bowman et al., 1992)

In 1992, the Borough of Sussex, New Jersey, experimented with privatizing its police department due to fiscal problems. After laying off their four-person department, they attempted to police with the help of the state police. They soon found that residents sought a more constant uniformed presence than they were being provided. Specifications were drafted, and a security company was hired to provide this additional presence.

Administrators of small municipal governments experiencing financial difficulties similar to those of Sussex Borough saw the experiment as an opportunity to save considerable sums of money without denying citizens needed services. On the other side of the spectrum, the Police Benevolent Association and many law enforcement unions saw the Sussex experiment as a direct threat to their livelihood. The statutes in New Jersey authorizing municipalities to provide police services are similar to those in other states. (O'Leary, 1994)

The Sussex experiment in private policing was fairly short. Issues of selection of the private contractor, liability, training, authority, police powers, and the lack of the state enabling legislation for use of private police led to the end of the experiment. "Is it possible to create a private police department? Probably. But more important questions remain. Would such an arrangement work? And would the savings be worth the effort? The Sussex Borough experiment may have been too short to fully answer these questions. But they will be asked by economically challenged communities around the Nation" (O'Leary, 1994).

There are two other examples of privatization of police services to review. One is the growing number of fully privatized police departments on college and university campuses. Approximately 40 states have passed legislation providing for the granting of different degrees of police authority to campus security personnel, including private universities in some states. The second is probably the purest example of full police privatization. Railroad police have full police powers in a number of states. Legislation granting this power was required due to the issues of interstate commerce with the railroad companies serving numerous states throughout the country. Their tracks and property were located in areas of the country without any significant police protection. The railroad police work closely with local, county, state, and federal law enforcement agencies in combating the crimes of interstate commerce theft and security and terrorist activities on their trains and property.

Privatization has been slow to grow primarily due to a number of factors, including police union opposition, issues of liability for the contracting government, lack of legislation giving "police powers" to the private agents, and the citizens' perceptions of equity. This perception concerns the issue of the "haves" and "have-nots" and the "haves" getting better and more expansive services due to their ability to pay. These concerns continue today.

Because public safety functions are so important and visible to the public, it seems unrealistic to assume that these services can or will be passed on to the private sector. A perceived reduced level of accountability associated with private firms providing public services is one factor that greatly discourages public officials from attempting total privatization. Unions have argued against contracting out since the idea's first inception. Police unions and employee associations are likely to be vocal in their opposition to the continued use of contracting. Local governments may also be restricted by union contracts, civil service requirements, or state law from laying off employees. As a result of union requests, employees who lose their jobs to contracting have to be transferred to other positions (Bowman et al., 1992).

Public police departments were formed primarily to provide equal services for all persons in need of assistance in law enforcement and victim assistance. Privatization is viewed by some civil libertarians as a return to the rejected style of private policing (which existed before the creation of public policing) that served the particular interests of the wealthy. When police services are delivered by sets of personnel with different skills and capabilities, a concern may arise that tasks that involve serving the poorest citizens may be allocated to the least skilled private security personnel. The converse is of equal concern to police officers. They fear that private firms will strive to take over the most popular and profitable services that police departments undertake, leaving the department with the residual tasks that are more expensive to operate and not highly regarded in the public's eye (Bowman et al., 1992).

One of the immediate concerns about the use of contracting for private security is the abuse of power. The powers of public police departments are constitutionally limited, and court rulings have placed specific constraints on police practices. Many private security personnel do not understand the subtleties of the law and may, in some instances, act as if they were sworn officers (Bowman et al., 1992).

The use of civilianization in police departments has occurred over the past 20+ years to a greater extent than privatization.

As police departments contracted out for private services largely in the interest of efficiency, they also moved to civilianize positions in the department that had been filled previously by sworn officers, for many of the same reasons. It had become clear that, despite widespread reservations about the suitability of civilians for work that had traditionally been done by sworn officers, civilians taking switchboard calls, dispatching patrol cars, and collecting evidence at crime scenes would free up officers for the critical work of policing the streets (Bowman et al., 1992).

During these changing times, many traditional police administrators resisted the move to this civilianization. "By the 1980s and 1990s, that resistance had largely evaporated, as civilians had proved themselves more than competent in the positions for which they were hired. The critical task of dispatching patrol units in response to calls for service, done almost exclusively by sworn officers in the 1960s, was done almost exclusively by civilians by 1990" (Frost, 2000).

The use of civilians in public police agencies today is largely accepted. Most municipalities, police executives, and unions recognize the use of civilians as a way to continue to provide police services in a more cost-effective manner without privatization. The use of civilians allows departments to address the more pressing crime-related issues of today while tasks that do not require a sworn officer can be handled just as efficiently. The positions considered today for civilianization include police communication operators, call takers, records and property function personnel, school crossing guards and resource officers, community service officers and in some cases, directors of administrative services functions.

The future direction of public policing on the municipal level and the issues it will face in the area of privatization of police services and civilianization of some functions will be varied.

The part of the country where the agency is located, the socioeconomic health of the area, legal issues, and the state of the economy all will play important roles in determining how far the move toward privatization and civilianization will go. The more affluent the area, the better the likelihood of neighborhoods or gated communities pooling their private resources to provide enhanced private police services and patrols for themselves. The trends toward civilianization in police departments will continue with more police functions being handled by publicly employed civilians making less money than their sworn counterparts. Parking enforcement, taking police reports for crimes for which there is little follow-up to be done or the offender is not on the scene, and responding to crimes involving only property damage, minor private property or property damage only crashes, house watches, department errands, business and residential security checks, and animal control activities can be handled by trained civilians. The employment of more civilians to handle these and other tasks will be more cost-efficient and accepted by the community who is looking for that caring police response.

In conclusion, the author believes that with the continued threats to our communities today by international terrorists, as well as an increasing crime rate and a depressed economic situation in the country, that the challenge to the police departments of the future will be to address these issues by doing more with fewer resources. The normal patrol tasks, routine calls for service as well as the crime-related calls and domestic violence issues will pale in the face of terrorism.

State and federal funds to address these changes in policing have not materialized as promised after the September 11, 2001, terrorist attacks in New York, Washington, and Pennsylvania. While heightened security has been required for numerous potential targets, the new equipment, training, and funds for target hardening of both public and private utilities and buildings have not materialized. Local funds and manpower to meet these challenges are not there. Local municipalities, already in cutback mode due to fiscal issues, now have to bear the expense for overtime and provide for the needed equipment, security, and training to meet these increased demands.

Law enforcement will experience a loss in funding due to the steady erosion of state and federal funding and the transfer of most of these funds to the federal Department of Homeland Security. The Homeland Security funds have now been allocated to

fire, emergency medical services, emergency management, and police. The war in Iraq continues to decrease available funds to local resources.

The future challenges for law enforcement will be daunting, and the resources scarce. Expanding privatization and civilianization will be required to address some of the future needs of law enforcement. Increased partnerships between the public and private sectors will be needed to provide the protection for our citizens in this new, dangerous, and changing world.

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# Fitness Requirements for Police Officers

**Michael D. Schlosser, MS, Lieutenant, Rantoul Police Department**

Being a police officer is a very demanding job. Police are called upon to handle a number of unpleasant duties. If officers are dispatched to a certain location for whatever reason, they have no choice; they must respond. Police are called upon to investigate deaths, child abuse, sexual assaults, and personal injury motor vehicle accidents, just to name a few. The daily toll on officers witnessing these types of events can be very stressful, especially over time.

Police officers are called upon to handle a number of calls requiring physical demands. Police officers break up fights, pursue fleeing suspects on foot, control and handcuff resisting suspects, and even may have to take the life of another individual to protect themselves or others from death or great bodily harm.

Police officers spend many hours without the excitement of the tasks previously mentioned. They will spend much of their time writing reports and patrolling in their squad car, but when they are called upon, they must be ready to respond at any time. The sudden transition from such a low-key state to state of emergency, is, in and of itself a stress on the body. Even though these physical tasks are low frequency, being able to perform is crucial as stated by Hoffman and Collingwood (1995):

One study looked at 24 physical tasks to determine their criticality, that is, how serious the consequences may be if a task can't be performed. While only six of the tasks were performed frequently, all 24 [were] deemed to be critical tasks. The bottom line is that it doesn't matter how infrequently you may be called on to perform a physical task if it is critical. If you're not fit enough, at best you've failed in your duty; at worst, it may kill you or someone else. It's like the need to maintain firearms skills. You may rarely use your weapon, but when shooting skill is needed, it's critical that you have it. (p. 6)

Stress-related problems are serious in the police field as indicated by Dr. R. Kimbrough (1998):

Stress at times is epidemic among law enforcement personnel, and it also forces many good officers into premature retirement, disability, or undue death from self-destruction, substance abuse, suicide, or medical illness resulting in death. Police officers die by committing suicide at three times the rate of officers dying in the line of duty each year. This is a tragedy that leaves the departments, families, and community in a wake of a fallen officer victimized by chronic stress leading to depression or suicide. (p. 50)

There is no doubt that police officers have one of the most stressful and physically demanding professions. It would seem reasonable that with such a demanding profession, staying healthy and fit would be an essential requisite.



Most entry-level police officers, prior to being hired, must go through a testing process. This usually consists of a written comprehensive test, an oral interview, and a physical fitness test. In the state of Illinois, many departments are using the POWER test, derived from the Cooper Institute for Aerobic Research in Dallas, Texas. This test consists of a variety of physical tests to measure different components of fitness. There is a 1.5-mile run that measures cardiovascular endurance, a bench press that measures muscular strength, sit-ups that measure muscular endurance, and a sit-and-reach test that measures flexibility. These components of fitness underlie all physical tasks performed by law enforcement (Hoffman & Collingwood, 1995).

Another type of physical testing is based on job-task simulation. This test is based on the assumption that officers should be able to perform tasks related specifically to the job. For example, job task simulation may consist of a dummy drag representing dragging a body from a burning vehicle, a 100-meter run, or climbing over a fence representing chasing a fleeing suspect. One drawback of job-task simulation tests is that a typical battery accounts for only 20% to 25% of the physical tasks performed by police officers (Hoffman & Collingwood, 1995).

There are many frequent and critical physical tasks that police officers perform; one list includes the following as indicated by Collingwood, Hoffman, and Smith (2004):

Walking; running short and long distances; running up and down stairs; running over uneven terrain; light, medium, and heavy lifting and carrying; jumping over obstacles; vaulting over obstacles; climbing fences; climbing stairs; dodging around obstacles; crawling under or through obstacles; dragging objects; extracting and dragging victims; pushing heavy objects such as cars; bending and reaching; using restraining devices; using hand and feet in self defense; short- and long-term use of force. (p. 33)

When comparing the job-task simulation tests to Dr. Cooper's POWER test, there is one significant difference. There are certain physical skills within most job-task simulations that are more difficult for women than for men. For example, dragging a weighted dummy or climbing requires a significant amount of strength. These tests may show bias against women, who generally possess less upper body strength than men. The Civil Rights Act of 1964, specifically Title VII, Section 703 (a) (1) states, "It shall be unlawful employment practice for an employer to fail or refuse to hire or to discharge any individual with respect to his compensation, terms, conditions, or privileges of employment, because of such individual's race, color, religion, sex, or national origin" (Mathis & Jackson, 1997). If the job task simulation tests are used, therefore, it is important that the employer be able to show job-relatedness, validity, and reliability. According to Mathis and Jackson (1997), . . .

Virtually every factor used to make employment decisions—recruiting, selection, promotion, termination, discipline, and performance appraisal—must be shown to be specifically job-related. Validity and reliability apply to the job-relatedness. Validity refers to the extent to which a test actually measures what it says it measures. Reliability refers to the consistency with which a test measures an item. (pp. 143-144)

The POWER test (See table below) is a test of general fitness guidelines. The significant difference in this test when compared to a job task simulation, is that there are different guidelines for age and gender based on the general population. For example, a 20- to 29-year-old male would need to run 1.5 miles in a time of 13:46 or less; whereas, a 20- to 29-year-old female would need to run 1.5 miles in a time of 16:21 or less. Another example is a 20- to 29-year-old male would need to bench press 98% of his weight; whereas, a 30- to 39-year-old male would need to bench press 87% of his weight. This concept helps avoid the problem of unfair hiring practices but may have a more difficult time showing job-relatedness.

**POWER Test Chart**

Test	Male				Female			
	20-29	30-39	40-49	50-59	20-29	30-39	40-49	50-59
Sit & Reach	16.1	15.1	13.8	12.8	18.8	17.8	16.8	16.3
1-Minute Sit-Up	37	34	28	23	31	24	19	13
Maximum Bench Press Ratio	.98	.87	.79	.70	.58	.52	.49	.43
1.5-Mile Run	13:46	14:31	15:24	16:21	16:21	16:52	17:53	18:44

Whereas it seems obvious that job-task simulation tests are practical in the sense that they measure job performance, tests like the POWER test look at a person’s general fitness level to measure his or her ability to perform the job. These general fitness guidelines, however, are based on sound research. The 1.5-mile run measures a person’s cardiovascular endurance, which is the efficiency with which you get oxygen to your working muscles and remove the metabolic wastes that are building up there. Cardiovascular endurance is the key to exerting force under aerobic conditions (Hatfield, 1992). The bench press is a measurement of muscular strength. More specifically, the bench press is a measurement of “absolute strength.” Absolute strength is defined as how much musculoskeletal force a person can generate in one all-out effort (Hatfield, 1992). The sit-up test is a measurement of muscular endurance, which is different than muscular strength. Muscular endurance is the ability of a muscle group to execute repeated contractions over a period of time sufficient to cause muscular fatigue or to maintain a specific percentage of maximum voluntary contraction for a prolonged period of time (ACSM, 2000). The sit-and-reach test, a measurement of flexibility, is the ability to move a joint through its complete range of motion (ACSM, 2000).

Regardless of the fitness tests administered by the department for entry, more importantly is what lies ahead for the rest of a police officer’s 20<sup>+</sup>-year career. The police officer will come to work every day and have the same expectations 5, 10, or even 20 years later, as he or she did when being hired. So why not have mandatory annual testing for police officers?

If a police officer is performing his or her job satisfactorily, regardless of fitness level, it is difficult to require an officer to “pass” a fitness test annually. As mentioned before, Title VII of the Civil Rights Act, and the Americans with Disabilities Act (ADA) also play a role in protecting the officers. Another, and probably the most significant factor, is the role of the union contract. Administrators know and

understand the power of collective bargaining for officers. Being able to negotiate the passing of a mandatory fitness test within the contract is close to impossible.

If administrators look at this task in a different light, and have fitness testing for the right reasons, however, certain fitness goals are achievable. Fitness goals can be looked at in a positive light. Officers can be encouraged to stay fit through positive reinforcement. Incentives can be provided for officers who keep themselves healthy. The goal of police administrators should not be to “punish officers who become overweight and out of shape.” It should be to “reward officers with positive feedback and tangible incentives for staying fit.” Besides the obvious benefits for the individual who maintains a level of fitness, there are also numerous benefits to the organization for officers staying healthy and fit. According to Hoffman and Collingwood (1995), . . .

Studies have found that more physically fit officers generally receive higher job performance ratings. More fit officers will be able to better perform essential physical tasks. More fit, confident officers are less likely to be involved in use-of-force situations. Better fitness can help prevent health problems and contribute to longevity. There is also less risk of the officer going on disability. Other organizational benefits include fewer sick days used, improved productivity, and reduced healthcare costs. (pp. 9-10)

Many departments are trying this positive approach by creating fitness programs. It would be impractical for departments to test officers annually without providing guidance through a fitness/wellness program. By providing positive feedback, tangible incentives, and a wellness program throughout the year, departments are making gains in the police fitness arena. One such department is the Rantoul, Illinois, Police Department. In 1999, a wellness policy (based on encouragement, educational programs, and positive reinforcement) was approved by the administration, and by 2004, the union contract had even more tangible incentives to assist in the program. A summary of this program is as follows (Policy Statement #7-7-99):

The purpose of the policy is to promote health and fitness for all Rantoul Police Department employees, including not only sworn personnel but civilian employees as well. With guidance of certified fitness personnel, the program strives for 100% participation. Efforts will be made to develop programs on an individual basis, since each employee is at a different level of health and fitness, with individualistic goals. Besides the obvious benefits of better health for the participating employee, the department as a whole will benefit indirectly. Healthier employees are more productive at work, miss less work due to injury or illness, and are happier, resulting in fewer grievances. The objectives of the policy are to encourage and promote department employees' fitness, health, and overall well-being; to help employees in becoming aware of any medical conditions they may have so that appropriate, timely, and corrective measures can be taken; to provide that officers are fit to participate in the program's annual fitness testing; to provide that officers are fit for duty; to promote the safety of the officer, other department employees, and the public; and to educate employees in all aspects of a healthy lifestyle, including physical, mental, and social well-being.

Employees are encouraged to receive an annual medical physical exam. All department employees are required to attend any non-physical classes pertaining to wellness education. Police officers shall participate in the POWER test depending on medical limitations.

Also outlined in the wellness program policy, are the wellness director's responsibilities: to educate employees in the field of wellness by providing information in the form of handouts, videos, personal training sessions, and seminars; to encourage employees through positive reinforcement; to evaluate employees' fitness levels based on medical conditions and physical abilities; to prepare individualized physical fitness profiles and programs for employees; to maintain department exercise equipment; to maintain records; and to report to the deputy chief any concerns that an employee may not be fit for duty.

Besides the wellness policy designed by the Rantoul Police Department in 1999, the collective bargaining agreement addresses physical fitness requirements in Section 21.3 of the contract:

All employees are expected to be sufficiently fit to perform the requirements of their job. In order to maintain efficiency in the Police Department, to protect the public, and to reduce insurance costs and risks, the Police Chief may establish reasonable minimum physical fitness standards for all employees. While employees may be required to participate in any such physical fitness testing, no employee will be disciplined for failure to meet departmental physical fitness standards as long as the employee makes a good faith effort to comply with such physical fitness standards. Prior to implementing any such physical fitness standards, the Police Chief shall review and discuss such physical fitness standards at a labor-management meeting. Any employee who believes it necessary to have a medical examination before participating in any such physical fitness testing shall arrange any such medical examination through his own physician. To the extent not covered by an employee's health insurance, the Village shall reimburse the employee for the cost of any such medical examination not so covered upon presentation by the employee of the applicable bill or statement for any such medical examination. The Village shall undertake such physical fitness testing twice a year at intervals of approximately six (6) months, and each employee who successfully completes and meets or exceeds such physical fitness standards upon such physical fitness testing shall be granted one (1) additional day of personal leave for each such successful completion.

The Rantoul Police Department also has a fitness room within the police station. This room consists of a Universal multi-station machine, free weights (dumbbells and barbells), a club quality treadmill, and a stationary bike.

The University of Illinois police also have a physical fitness policy. The policy is based on a general order and is summarized as follows:

The University of Illinois Division of Public Safety and Risk Management strongly encourages all Departmental personnel to develop and maintain healthy lifestyles. Physical exercise and physical fitness are fundamental factors contributing to good health and wellness. In order to show support for fitness

and wellness activities, the Department will pay part of the membership of the employee to an approved health and fitness club. There is an annual physical fitness evaluation, which consists of six fitness tests, which include Flexibility, Grip Strength, Absolute Strength (Bench Press), Dynamic Strength (sit-up), Dynamic Strength (push-up), Cardiovascular (1.5-mile run or 12-minute walk/run). All sworn personnel are required to participate in the fitness evaluation, with the exception of a medical excuse. Personalized training/counseling will be provided for those officers interested.

Another view of fitness requirements for police officers is the idea that if police officers need to be at a certain level of fitness to be considered for the job, then they should have to maintain the same level of fitness throughout their career or be terminated from employment. This is an extreme view, but it does have some merit. If ordinary citizens are asked what they prefer or expect from a police officer, most will expect a professional, fit officer—one that could, “protect you from harm,” “pursue and catch the bad guy,” “command respect by appearance alone,” etc. A police officer who is not able to perform his or her duty may give the average citizen the idea that he or she is too unfit, lazy, or unprofessional.

Obstacles to a sound fitness program for police officers include Title VII, ADA, and the unions; however, the primary obstacle that can make or break a fitness program for police officers is the officers themselves. It would seem that the best way to overcome this obstacle is through positive reinforcement, encouragement, and monetary incentives. Police departments need to develop programs that promote health and fitness in positive environments. Departments need to provide the education, support, and equipment to allow for officers to enjoy a healthy lifestyle.

Police fitness requirements are necessary to hire persons physically capable of handling job tasks. Passing basic fitness requirements is also an indicator that trainees will be better able to deal with the stress of the police occupation; however, maintaining these fitness requirements as mandates to keep one’s job does not seem reasonable in light of the negative aspects (in the eyes of the employees) and obstacles. It seems the best thing to do is to promote overall wellness in employees. Police officers need to make an individual choice to improve and maintain a certain level of fitness. This needs to be an intrinsic motivation. Officers have to want to stay fit for themselves. By doing this, the organization will also reach its goals.

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Recent training that Lieutenant Schlosser has received has been Municipal Police Leadership Forum, Leadership and Development for Supervisors and Proactive Policing. Lieutenant Schlosser has received recent awards for Rantoul Press Readers Choice "Best Policeman" in 2002 and 2003; Most Fit Officer Award in 2001, 2002, and 2003; and Expert Marksman Award in 2003. Finally, Lieutenant Schlosser has upgraded and improved the field training program as part of his master's project, revamped the use-of-force policy and in-service training, and developed a wellness policy and wellness program for the Rantoul Police Department.



# The Use of Police Evaluation Forms

Joseph C. Buerger, Shift Commander, Lake Forest Police Department

## Background

Until the late 1950s, it was argued that police selection methods in North America had not changed much from those used by London's Metropolitan Police Department in 1829 (Coulton & Field, 1995). There was also little in the way of assessment and/or testing of any kind.

According to Bayley (1994), who cites historian Eric Monkonnen, the first police forces in both Britain and the United States were conceived more as an urban service than as a crime deterrent. As they developed, the police forces in America took on a hierarchical organization, separated from the prosecutorial function and focused mainly on being a uniformed patrol force. Bayley argues strongly that originally the police were created only "to protect the interest of government" as they "preserved order for the elites" by suppressing unrest and strictly regulating the behavior of the public generally (p. 120).

Few would argue that, for whatever reason and with isolated exceptions, policing in the United States has not improved over the last 35 years. In general terms, police today are more responsive to citizens; more accountable; and more open to evaluation, in particular evaluation and review from civilian groups outside the institution. Bayley (1998) lists seven major changes that have taken place:

1. A dramatic rise in the intellectual caliber of police (smarter, better prepared and informed, more sophisticated)
2. Work by senior police officers to improve their organizations
3. An understanding of the importance of applying scientific principles to police training, evaluation, and methods
4. A rise in police conduct standards overall, despite reports of brutality, racism, and corruption
5. A diversification within police ranks (with much work still to be done for police to actually reflect their communities)
6. The need for officers of all ranks to be more aware of new technology, forensics, and crime analysis
7. The acceptance, albeit reluctant in cases, of civilian overview of police discipline

Part of the effort in presenting a new image of the way police officers and the community interact has to do with attempts by the police to be accepted as a profession much in the same way as lawyers, engineers, and doctors, but this does not take place in a vacuum. Police find themselves in a state of flux with officers from the old school (the learn-it-on-the-street experience advocates) working side by side with college-educated officers. We see the results of this every day when some officers still spend most of their time investigating crimes and making arrests and others try to establish links with the community so that they do not have to make arrests at a later time. The following table outlines the differences between these two sets of values.



## Police Values and Choices

Law Enforcement-Oriented Values	Community-Oriented Values
Police authority is based on the law, and law enforcement is the primary police objective.	The objective is to work on crime prevention so that enforcement is not necessary.
Communities can provide police with assistance and information in enforcing the law, but that is the limit of their involvement in police work.	The police will involve the community in all activities, including the development of policies affecting the quality of community life.
Police, as experts, are best suited to determine crime-control priorities and strategies.	The police believe that, above all, strategies must preserve and advance democratic values.
Responding to calls for service is the highest priority, and calls must receive the fastest response possible.	The police must structure the delivery of service so that it will reinforce the strengths of the neighborhoods.
Social and neighborhood problems are not the responsibility of the police unless they threaten the breakdown of public order.	Police must take into account the social and neighborhood difficulties faced by communities in order to do their tasks properly in an inter-linked and consultative way.

Roberg, R. R., Crank, J., & Kuykendall, J. (2001).

## Statement of the Problem

Despite some enthusiasm and optimism on the part of researchers, there are still major questions to be answered: how various police forces are doing in general, and how to assure that the best possible recruits enter the force and that those eventually recruited and hired go on to perform to the best of their abilities. As indicated above, the majority of police forces today put potential officers through a battery of tests (i.e., cognitive, psychological, and physical). The effectiveness of these tests has not been studied, however. For example, some researchers feel that none of the tests and/or evaluations have resulted in an adequate indicator of a potential police officer's future performance on the job:

No single measure has been found that can adequately identify successful police officer candidates. In addition, written tests, which had been used traditionally in the selection of police recruits, came under heavy fire in the 1970s. Complaints about these measures included their apparent adverse impact on minority group applicants and questions about their validity. (Coulton & Field, 1995, p. 226)

The ironic situation being created presently is that while standards for police work are going up and demands being made on the police increase daily, there does not seem to be a quantitative way of determining a profile for the "model cop." According to Galloway & Fitzgerald (1992), the model cop concept arises out of the Total Service Quality (TSQ) paradigm:

The model cop concept calls for the right combination of temperament, maturity, values, social skills, world view, and tolerance for human contact. . . . The fundamental belief underlying this notion is that a candidate with excellent interpersonal skills and an orientation to service can be trained to be a police officer. However, a recruit lacking the requisite skills and orientation cannot

be trained to deliver good service, no matter how skilled they are in enforcing the law. (p. 16)

Because of the rapid changes taking place within police departments, questions are being raised as to the efficacy of the various evaluation systems being used to determine . . . how fit an officer is when it comes to performing his duties; and . . . how well the process actually evaluates the performance level itself. Specifically, does the evaluation system currently in use within the police department examined in this study really reflect the officers' performance—as understood by the officers themselves? If not, how can the evaluation system itself be improved to better reflect their performance and to give the officers a better sense of being valued rather than simply evaluated?

## **Conclusions and Recommendations**

### **Introduction**

This project is designed specifically to examine the perceived effectiveness of police evaluations. The specific research question to be answered is as follows: Does the evaluation system presently being used for The Lake Forest Police Department actually reflect the officers' performance, as understood by the officers themselves? If it does not, how can the system be improved?

### **Summary of Results**

In general, this project has shown that the officers are conflicted when it comes to an evaluation of the current tool being used. In other words, these officers are mostly in agreement with researchers such as Coulton & Field (1995) who argue that "no single measure has been found that can adequately identify successful police officer candidates" (p. 226). Moreover, these officers also seem to be in agreement with researchers who have argued that there is a disjunction between the definition of a model cop and the means to determine who will and who will not make such a police officer. As stated by Galloway & Fitzgerald (1992), . . .

The model cop concept calls for the right combination of temperament, maturity, values, social skills, world view, and tolerance for human contact . . . The fundamental belief underlying this notion is that a candidate with excellent interpersonal skills and an orientation to service can be trained to be a police officer. However, a recruit lacking the requisite skills and orientation cannot be trained to deliver good service, no matter how skilled they are in enforcing the law. (p. 16)

Overall, the results suggest that the evaluation system currently in use does not reflect the officers' performance, not to the extent the police officers feel that it could. There is a strong feeling the current evaluation tools do not provide a true measurement of a police officer's potential. This is especially true when measured against what modern police officers are being asked to be and do today. Trying to develop more accurate measurements or methods to assure that employees are best selected for the tasks they must accomplish becomes even more crucial when it comes to police officers. As indicated previously, other issues to consider when performing evaluations of police officers include the sensitive nature of a police

officer's contact with the public, the perception of fairness and justice, and the high-profile nature of criminal investigation and arrests. More than any other profession, police officers are required to be extremely stable, intelligent, psychologically mature, and able-bodied men and women capable of making split-second decisions. Thus, evaluations take on an added importance and urgency. It is crucial that those performing these evaluations and those being evaluated are provided with the best tools possible for that task.

### **Implications for Policy**

The implications for future policies in this area point to the need for a stronger effort on the part of administrators to make police officers aware of the programs, such as community-oriented policing programs.

When using evaluation reports and tools, this can be done by indicating directly on what a police officer will be evaluated with regard to his or her public contact abilities, ethics, integrity, etc. The trouble with this type of indicator is the difficulty in making such evaluations objective, thus opening the way to even more accusations of supervisor bias. This might require an entirely new type of evaluation, such as one administered not to the police officers themselves but to the people with whom they come into contact. These evaluations can also be troublesome, and some weighting method must be found to ensure that a police officer does not become the object of some disgruntled citizen's personal vendetta.

It would seem that any police department sincerely interested in altering its public perception and also the manner in which it interacts with the public must undertake this type of evaluation (or some similar type). Alternately, as Glianakis (1994) points out, the present-day written cognitive tests and evaluations can be augmented by a more hands-on type of evaluation "in which candidates perform tasks they would actually do if promoted: handling memos, performing roll calls, responding to simulated citizen complaints" (p. 54). This type of evaluation also requires a reform of training methods in order to better prepare police officers. The training would focus on service rather than enforcement. Problems that must be surmounted by police services that want to re-focus include the following:

- Confusion among police officers who must realign their usual patterns of behavior (in the sense that many do not really know what is expected of them—as shown by the ambiguity found in some of the responses to whether the present evaluation tools are adequate)
- Confusion among those doing the testing (being told on one hand that more emphasis needs to be placed on an officer's social and interpersonal skills while on the other hand trying to balance the traditional cognitive and physical skills needed by a police officer)

With respect to police officer morale and motivation, it appears that senior policy makers must find other ways to motivate and increase morale, given that the evaluation tests do not seem to be performing the task very well. Suggestions range from a more personalized approach (if an officer does something right or wrong, simply tell him or her) to providing monetary or other incentives.

In terms of how supervisors themselves evaluate, an effort could be made to ensure that evaluations are conducted in a more objective and uniform way. Additionally, all supervisors must be consistent in rating performances in the same way. This was the most contentious issue with more officers showing anger and frustration in this area than towards the actual evaluations themselves. It is important for police departments to reassess this aspect of the evaluations and to stress more strongly the need for objective appraisals. It is uncertain, however, how far such a policy would advance given the nature of the evaluation tool and the natural tendency of supervisors to develop attachments and/or bias towards some officers.

In the area of peer evaluation, once again administrators should tread carefully before adopting such a system. This could have the effect of dividing a department, creating "personality contests" and infighting, unneeded competition, and the potential for vindictiveness. Perhaps some type of anonymous peer evaluation could be put in place on a trial basis in conjunction with self-evaluation.

Regardless of the policy decisions, the results indicate something similar to what researchers often stress when it comes to performance evaluation: the need to evaluate the evaluators on a regular basis. According to Halachmi & Bouckaert (1996), for example, the complexity of any performance measurement makes it imperative that the system is "designed, managed, and evaluated periodically to make sure that it delivers a useful product" (p. 1). Halachmi (1992) and Wholey (1983) both indicate two possible approaches to testing: (1) trying to determine a particular set of results or outcomes and (2) a process-oriented approach. While not completely overlapping, it can be argued that the first type aims for a quantitative result while the second is more qualitative. Police evaluation testing policy needs to find the right balance or mix between these two approaches—or risk creating an organization focused on the wrong issues, leading to the hiring and promoting of officers who are not best suited to carry out the new duties.

## **Concluding Remarks**

This study is a preliminary one and leaves as many questions unanswered as it answers. At the same time, the study establishes a solid basis for further studies, either directly connected or tangential to the field of performance evaluation and the police. It also seems to agree with most of the major studies in the literature with reference to types of performance evaluation and their effectiveness.

The study has shown that, despite the many scientific studies done on the evaluation process (in terms of reliability, validity, and accuracy), the determination of how valid performance evaluation is has yet to be pinned down with any degree of certainty. In fact, it is the researcher's belief that it is becoming more and more difficult to devise an effective evaluation procedure for police officers. This is due to a number of factors including the heightened expectations of police administrators and supervisors when it comes to the duties of the officers working in their departments, the changing nature of those duties (especially the move from enforcement to social service), the realization that previous attempts at evaluation have fallen far short, and the greater light being shone on police departments and officers.

The question as to what exactly is being evaluated has yet to be resolved in a satisfactory manner. If this particular sample is taken to be representative (at least

of police officers of the same rank), then it would seem it is precisely this question that needs to be addressed. The answer would then serve as a base for the actual evaluation procedure. Do we want police officers with superior cognitive and/or physical skills? Or, do we want police officers with superior social and personal skills? No doubt proper evaluation tools can be set up to test whichever skills are deemed as the most valuable.

Finally, it is hoped this study, in conjunction with the literature review, can help establish policy priorities. These priorities, in turn, would call for the creation and testing of a new and enhanced set of evaluation tools for police officers. It is the sincere hope and desire of this researcher that such an evaluation is developed. The benefit would be a police service sure of itself and in tune with the wishes of both the administrators and the public at large.

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# The Wayne Police Department Volunteer Program

**Michael R. Frayer, Chief of Police (Retired), Westland, Michigan Police Department; Risk Consultant, Michigan Municipal Risk Management Authority**

The terrorist threat to our nation has presented a unique challenge to law enforcement providers in our nation. The threats are extreme and very difficult to pinpoint. This, in turn, has taxed public safety organizations at all levels, local to federal. Fiscal, staffing, and equipment constraints have caused law enforcement executives to rethink and retool their operations. Policing in this decade requires creative thinking at the highest level. This article deals with a creative effort by a small law enforcement agency to ease the case load faced by its limited investigative staff while providing a much appreciated service to the community.

The City of Wayne, Michigan, is a suburb of Detroit, with a population of approximately 20,000 residents. It is basically a blue collar town whose main industry is a Ford Motor Company assembly plant. The police department is headed by Chief Mike Sumeracki who oversees the activities of 42 officers who handle over 31,000 calls for service annually. One of the problems that faced Chief Sumeracki is the limited investigative resources (six detectives) available to follow-up on cases. This was particularly true of low-profile cases that had very little information to aid investigators. As is all too often the case, these types of incidents received a minimal amount of attention and little in the way of victim/complainant contact. Chief Sumeracki thought that there must be a better way!

One afternoon, Chief Sumeracki was meeting with the risk-control representative of his city's loss and liability insurance carrier who also just happens to be both a retired police chief as well as a resident of the City of Wayne.

**Note:** Wayne is a member of the Michigan Municipal Risk Management Authority. This is a non-profit public insurance pool, which provides loss and liability coverage as well as the provider of legal defense when members are involved in litigation. It is the largest public insurance pool in Michigan and one of the largest in the United States. The risk control department provides risk management assistance to member organizations.

As they concluded the scheduled meeting, the conversation drifted into other areas, and the topic of a need for this type of follow-up arose. You could almost see the proverbial light go on over Chief Sumeracki's head, and he asked, almost jokingly, if the retired chief might be interested in helping out on a voluntary basis. Much to his surprise, he received an enthusiastic reply. So, the idea of the Wayne Police Department Volunteer Program was born, but this was going to be a different type of volunteer program. The reserve/auxiliary volunteer is by far and away the most common, but this program provides assistance to the investigative operation as the volunteer (who had been both an investigator and a detective bureau commander during his career) would primarily make secondary contact with victims of crimes in an attempt to gain additional information that may be useful to the assigned



investigator. The volunteer, who also has considerable law enforcement experience as well as law enforcement risk management insight, assists in crafting policies, procedures, grant applications, and other time-consuming administrative tasks as assigned by Chief Sumeracki.

The logistics of the program are very simple. The department provides a desk, a telephone, and an in-box. The detective bureau commander assigns cases for additional follow-up and places them in the in-box. Approximately once every 7 to 10 days, the volunteer will come into the department and call the victims to determine whether the passage of time has uncovered any additional information or evidence that can be of use in closing the case. The program works because the volunteer has the law enforcement knowledge and experience that allows him to ask the proper questions and gather useful information when discovered. Any information is written on a contact sheet and returned to the investigative bureau commander for further disposition. Naturally, most of the time, no additional useful information is gained, but the public relations benefit of this program is huge. Crime victims who receive these follow-up calls routinely express their gratitude that the police department cared enough to make secondary contact and still showed interest in their case! Chief Sumeracki has received letters and telephone calls complimenting him and his agency on the volunteer program. As a result of the public acceptance and appreciation of the volunteer program, it received the City of Wayne's Annual Award for Crime Prevention Efforts in 2003!

Every community probably has retired or inactive police officers with a wide range of skills who want to assist the law enforcement effort of their community but don't know how. They may want to help but not necessarily as reserve/auxiliary officers. Every agency has numerous areas that can benefit from experience and knowledge of these "old war horses." The benefits from using the experienced volunteer can help alleviate staffing shortages as well as reap an invaluable public relations benefit. Last but not least, it allows the retired police officer the opportunity to utilize his or her skills in furthering the efforts of their lifelong dedication to making the community a safer and more secure place.

**Michael R. Frayer** is a retired police chief from the City of Westland, Michigan (100+ sworn officers). After retiring in 1992, he has served as a risk consultant for the Michigan Municipal Risk Management Authority specializing in public safety risk management issues. He has written numerous public safety model policies and procedures as well as produced several public safety training videos, one of which (*Responding to the Call*) won the Professional Risk Manager's Association (PRIMA) national award for Best Risk Management Resource in 2000. He is also a volunteer involved in the above program.

# Community-Oriented Policing

**Dustin T. Sutton, Chief of Police, Peoria Heights Police Department**

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

The events of the late 1960s and early 1970s resulted in new initiatives by many U.S. police agencies to improve the relationship between police and the community. As early as the 1970s, findings have suggested that individuals and neighborhood groups were capable of contributing significantly to the quality of life. Programs, such as neighborhood watch, home security, surveys, and personal safety training, emerged as useful crime prevention techniques.

The 1980s saw a movement away from the team policing theory used in the 1970s. There was more of an emphasis on technical training with less stress being placed on public and police relations. The level of distrust between the public and the police was on a rise in many areas of the United States.

The 1990s brought new problems for police administrators. They found themselves faced with greater demands on public service and demands to include the community in policy decisions. A resurrection of local residence taking care of their own problems arose, and community policing began.

One of the primary goals of community policing is to enhance the cooperation between the police and the community. Community-oriented policing involves a partnership in which the police interact with the public they serve in an attempt to resolve the problems they are facing. This involves several key components: community relations, problem solving, management change, and crime prevention.

Community policing has different meanings to different people. There are four dimensions to help identify community policing: (1) philosophy, (2) values, (3) tactical structure, and (4) organizational structure. The first dimension deals with the mind-set of patrol officers and how they view their duties and the role of the community.

The second dimension represents more of an operational version of the department's philosophy. This focuses on redirecting its operations, geographic focus, and looking more toward crime prevention. This is a more proactive approach toward crime prevention.

The third dimension addresses day-to-day operations. A community-oriented police agency will stand apart from the agency using the traditional approach when it begins to emphasize positive citizen interactions, police-community partnerships, and problem-solving activities.

The fourth dimension is organizational structure. This dimension focuses on a police department's structure and personnel. It also focuses on management practices and how departments maintain and distribute information as it relates to evaluating its employees, policies, and procedures. A number of professional police organizations, including the Police Executive Research Forum, the Police Foundation, the International Association of Chiefs of Police, The National Organization of Black Law Enforcement Executives, and the National Sheriff's Association, endorsed community-oriented policing as the wave of the future. For some, it means instituting foot patrols and bicycles patrols, getting out of squad cars, and a host of other activities that are designed to bring police officers closer to the communities they serve. To others, it means order maintenance, cleaning up decaying neighborhoods, revitalizing run-down areas, and fixing "broken windows" (Wilson & Kelling, 1982). For many agencies, community policing is nothing more than a series of community-relations programs, including Drug Resistance Education (D.A.R.E.), Neighborhood Watch, and a variety of other programs. Community policing, in its ideal sense, means the traditional definition of policing from one of crime control to one of community problem solving and empowerment (Goldstein, 1990).

Communities' values will often vary significantly—the value of alternative law enforcement services. In Boston's North End, double parking is a "way of life"; whereas, in nearby Back Bay, parking violations are viewed as a priority concern of neighborhood citizens. In some communities, groups of teenagers gathered at a street corner in the evening represent a threat of vandalism and perhaps assault-type crimes; whereas, in other communities, hanging out is a part of the law-abiding teenagers' culture. In urban and poor communities, citizens often want police attention directed at drug problems. Whatever the problem, it seems clear that priorities are different from community to community.

According to the Police Executive Research Forum (PERF) (1996), there are five perspectives of community policing: (1) deployment, (2) community revitalization, (3) problem solving, (4) importance of the citizen, and (5) legitimacy. Deployment is said to be the procedures that move the officers closer to the citizens on the streets to help increase interaction between officers and the people they serve. Community revitalization focuses on preventing neighborhood decay and fighting fear of crime by eliminating those features of the neighborhood. This reflects the views of James Wilson and George Kelling (1982) in their article "Broken Windows: The Police and Neighborhood Safety." The link between order maintenance and crime prevention is similar to the process by which one broken window becomes many. Citizens who fear the drunk, rowdy teenager or the homeless man are not merely expressing their distaste for unseemly behavior, they are also generalizing that serious crime flourishes in areas in which disorderly conduct is allowed.

From the problem-solving perspective, PERF views community policing as a focused approach to a crime problem that involves not only the police but the community as well. The next perspective recognizes the importance of customers (citizens) and listening to their needs. The emphasis is on open lines of communication with local residents through citizen advisory groups and surveys; however, as Skolnick and Bayley (1988) warn, community policing should not only involve listening but also create new opportunities to do so. In doing this, police not only receive feedback

as to their performance but also insight into various problems as prioritized by the public.

The final perspective PERF deals with is the issue of legitimacy, establishing the credibility of the police as a fair and equitable public service organization that utilizes its available resources evenly and effectively throughout the community.

For community policing to be accepted by police personnel, it must first be presented as a desirable alternative that offers attractive features. Secondly, it has to draw favorable support from taxpayers. For the public to accept it, community policing must benefit the community in ways they ordinarily would not experience if police styles remain unchanged (Thurman, Zhao, & Giacomazzi, 2001).

Nalla and Hummer (1999) found that the starting point for establishing a relationship with citizen groups is assessing the need for the cooperative programs within the community served. This need is determined primarily through active law enforcement participation in developing partnerships with communities. Nalla and Hummer found that this could be generally done through input from citizen groups obtained by foot patrol officers talking with residents, conducting surveys in targeted neighborhoods, and educating residents about new law enforcement initiatives and soliciting their support. They concluded by noting that the success in establishing working relations with citizen groups is primarily determined by the level of positive attitudes of citizens toward the police. Positive attitudes were achieved through positive communication, and citizens were feeling like they were part of the solution.

As community policing sweeps the nation, it changes the roles and duties of law enforcement officers. With this wave of change comes a new challenge for law enforcement supervisors who have to effectively manage the employees in their new roles.

The research tells us to empower officers and give them greater flexibility but says little about how to supervise them as they do it (Trojanowicz & Bucqueroux, 1999). Confronted with the competing values of traditional and community policing, many law enforcement supervisors are forced to improvise. Unfortunately, they sometimes select management strategies that could jeopardize the future of community policing.

Arguing that traditional management strategies are too restrictive, community policing advocates more flexible, participatory structures. In an effort to be more flexible, some managers have adopted programs that run themselves. Without proper controls, law enforcement officers' personal interests may foster inefficient or inappropriate behavior.

Most supervisors understand that community police officers need to engage in problem solving; however, it is often unclear how problem-solving agendas are developed. What issues have the officers chosen to address? How are problems identified and prioritized?

The community should play a significant role in identifying and solving problems. Initially, an officer may need to identify and solve a problem on his or her own

just to demonstrate that problems can be solved. Then, the officer can use that success to stir up community interest in taking a more active role in improving the neighborhood's quality of life.

Public input and participation in problem solving should be reflected in subsequent initiatives. If the initiatives selected by community police officers do not further community interest, the community may not support them, or, even worse, law enforcement's efforts may alienate the community and jeopardize its support. An officer would not readily recognize alienating the public, unless the public was involved in planning and carrying out the initiative (Cordner, 1986).

Law enforcement managers need to ensure that their community police officers are working productively in the community's best interest. The best way to do this is to encourage the officers to see their roles as facilitators of action who empower and enable residents to work with law enforcement on improving the neighborhood's quality of life. The manager needs to monitor the officers to ensure that they do not digress from that role. When the community participates in problem solving, it actually simplifies the manager's role because the community members will be scrutinizing the officers' actions. In effect, the community shoulders a portion of management's monitoring role (Cordner & Hale, 1992).

When assessing a community policing initiative or a community police officer's performance, the supervisor should ask two questions: (1) What are the important problems as defined by the community? and (2) What are the community members doing to solve them? If you cannot identify significant community involvement in answering both questions, you need to refocus your efforts. If the community is not involved, what is driving the process—personal, organizational or political interest? The manager must evaluate whether the initiative is still on track.

The problem-oriented policing (POP) process is based on the four-element SARA model:

- Scanning – Identifying problems, frequently through the observation of consistently recurring similar incidents
- Analysis – Collecting information about the problems and analyzing that information to determine the factors contributing to the cause of the problem
- Response – Working with all aspects of the police department, as well as other agencies and the public to develop and implement solutions to the problem
- Assessment – Evaluating the effectiveness of the solutions by “re-scanning” the problem and, if necessary, redeveloping the responses

The Village of Peoria Heights has a population of 7,000 residents and is surrounded by Peoria with a population of 125,000. There is no separation of boundary lines. The community of Peoria Heights expects a small town atmosphere but does not promote a proactive police strategy. Peoria Heights has always drawn from larger surrounding agencies when choosing a chief to lead their police department. This usually consisted of a retired command officer from a larger department.

The positives within the Peoria Heights Police Department were far and few between. This department was a training ground for surrounding agencies. Morale was at an all time low, along with wages. This department lacked structure, professionalism, and leadership.

Every aspect of the police department was reactive. Apartment complexes were beginning to look like housing projects. Code enforcement was viewed with a “not my job” type of attitude by officers. Community and police relations were viewed from a “them and us” perspective. Officers had been indicted on felony charges. The community viewed the police department in a negative light.

The Peoria Heights Police Department has changed over the last 4 years. The first step was getting the right people for the job. The “retired on duty” officer was forced to produce or look for employment elsewhere. Eleven out of 12 officers were replaced with more professional and proactive officers. This was done through a lateral transfer ordinance. A major recruiting effort was launched to bring in officers with a positive attitude and philosophy toward police work.

The next step was command structure. Since the Peoria Heights Police Department did not currently have a command structure, a sergeant and lieutenant exam was created. With strong recruiting, the Peoria Heights Police Department brought in experienced officers with 5 to 10 years of experience. After promoting two sergeants and one lieutenant, the department needed a better benefit/wage package. The benefits for police officers are currently one of the best in central Illinois. The wages, on the other hand, were one of the lowest.

The first step was meeting with the mayor and village board to discuss monthly statistics and neighboring communities. The Peoria Heights Police Department is unique because of the size and surrounding community. Peoria Heights is a small community of 7,000 but is surrounded by Peoria, which has a population of 125,000. The boundaries overlap between these two communities. Statistics prove that Peoria Heights produces more arrests and is dispatched to more calls than the districts surrounding it. This was the main point conveyed to the village board in an attempt to increase pay for the police officers.

After negotiating for 3 months, the village board had come to a conclusion. The proposal was 20% higher than the original proposal and a top out at 2 years (\$42,000.00). The village board agreed to meet after 2 years to ensure that they were staying competitive with surrounding agencies regarding wages. Morale was at an all time high for the Peoria Heights Police Department.

After increasing wages, the next step was implementing a level of accountability throughout the department. Officers were given assignments and extra duties from patrol to lieutenant. Command meetings were scheduled twice a month. Shift briefings were made mandatory; this solved the problem of information not being passed on or “falling through the cracks.”

After restructuring the police department, there was still a major problem that was not getting addressed. Code enforcement was overwhelming in Peoria Heights. The police department had been taking a reactive approach to this problem. A new approach was implemented within approximately one month. The Village of Peoria

Heights was divided into districts. Each first and second shift officer was assigned a district. Officers were in charge of keeping their district clean. Because this could take officers off the street for a length of time, a new form was produced that was officer friendly. It was called a Crime Prevention Notice. This was in citation form and had a list of ordinance violations on it. Officers could simply check the violations on the notice and leave it at the residence. Another copy was available for department use. This was an easy way to track and correct the code enforcement problem. The Village of Peoria Heights did not accept this approach with open arms. This was looked at as harassment from a majority of residents, but after the first year, compliance was at 80%. This was a huge win for the village and police department.

Over the last 4 years, Peoria Heights has benefited from a community-oriented policing philosophy. Not only have personnel changed, but the mindset has changed as well. Implementing new policy and operating procedures has decreased the level of liability and brought a more professional atmosphere to the department. The officers have thrived on the level of responsibility given to them. Command personnel are well-trained and know what is expected of them. The community-oriented approach has been the right fit for the Peoria Heights Police Department. The department that was used as a training ground is no longer. New recruits and lateral transfer applications are at an all time high. The relationship between community leaders and the village board is viewed as a team.

The Village of Peoria Heights Police Department is in the process of conducting a blanket survey. Community leaders and village board members are very excited about the community's response to this approach. A community that frowned on police service is now embracing it. Problems that were ignored for years are being addressed. These range from drug problems to code enforcement. Whatever the problem, the police department is addressing it.

There is never one blanket solution for every problem. This is also the case in community-oriented policing. One viewpoint will always be that police should be focusing on the serious crimes, not minor crimes or code enforcement, but the positives far outweigh the negatives in the community-oriented approach. I believe that implementing this style of policing gives the department focus and accountability. Research concludes that by allowing minor crime and code violations to occur, it invites more serious crimes into these neighborhoods. Community policing is not an overnight solution. Departments need personnel, philosophy, and a game plan, but implementing this style correctly can make a major difference.

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# Bridging the Gap: City Police and the University Population of Charleston, Illinois

Roger E. Cunningham, Assistant Chief of Police, Charleston Police Department

## Executive Summary

A survey of published research shows that several factors in rural communities with large university campuses present special challenges in planning for community policing. A study by Cordner, Marenin, & Murphy (1986) revealed that students tend to view police more negatively than campus faculty do. Over 20 research projects compiled by Brown and Benedict in 2002 confirm that young people generally perceive police officers more negatively than older people do (p. 554). To compound the problem, some research shows that a higher level of education correlates with a more negative view of the police (Weitzer & Tuch, 1999), as does a higher level of wealth and status (Huang & Vaughn, 1996). Studies, such as the one done by Smith, Graham, and Adams (1991) show that direct contact with police strongly influences the perception that an individual has of the police; therefore, it may be possible to adopt policies that will improve these points of contact and have a positive influence on the broader perception of the local police department.

The economy of Charleston, Illinois, is largely dependent upon Eastern Illinois University (EIU), a comprehensive public institution with a student population of 11,000. Given this, a survey of the university population is essential in determining the success of community policing in Charleston. An earlier survey of the area dealt only with nonstudent residents of Charleston (Benedict, Bower, Brown, & Cunningham, 1999).

The study by Benedict et al. was conducted because studies have shown that surveys of local communities can be a viable tool in planning an effective community policing program. It was noted by Cochran, Bromley, & Swando (2002) that successful outcomes are more likely if planners use input from the community to set the tone and parameters of the solutions developed in community policing (p. 507). Establishing a well-supported community policing program can enhance communication between the public and the police and modify public behavior in a positive direction (Diamond & Lobitz, 1973, p. 105). Brown and Benedict reached the well-supported conclusion, after a thorough review of the available research, that the advantages of using community policing techniques include the improvement of crime control if police are viewed more positively within the community (2002, p. 545).

A survey of the university population in Charleston, Illinois, would be valuable. Brown and Benedict (2002) observed that surveys of young people's attitudes toward law enforcement are rare, so there is little existing research of student groups to guide us; therefore, it will be necessary to customize community policing techniques to serve this small community. As was noted in the earlier study in Charleston of

the nonstudent population, we cannot take for granted that community policing tactics developed for big cities will be appropriate here (Benedict et al., 1999). Since the groundwork has been laid by the earlier general community survey and the advantages are well-documented, it would be advantageous to survey the local student population.

## Problem Analysis

A small mid-western college town presents community policing challenges. The police deal with students who live among the more permanent community residents. In 2003, the total population of Charleston, Illinois, was 20,500, including the campus population of 10,500. EIU is literally half of the town.

Researchers have repeatedly established that young adults have a lower opinion of the police than older people (Brown & Benedict, 2002). Other research indicates that more educated people tend to have a lower opinion of police in general (Weitzer & Tuch, 1999). Student reactions to enforcement of local and state ordinances, mostly involving the use of alcohol and noise violations, have raised concerns that some students may be making enrollment decisions based on their perception of law enforcement. This article will attempt to identify some solutions to a perceived relationship problem that exists in the community.

American police tend to ignore the research that currently is available on public perceptions of the police; although, in Great Britain, surveys of community members have a defined role in self-assessment by police authorities (Benedict et al., 1999, p. 145). It is important to avoid this mistake.

The neglect of this type of research by policy makers and law enforcement administrators serves as an impediment to effective law enforcement and needs to be addressed. As Peak, Bradshaw, and Glensor (1992) noted, "The importance of surveying community needs cannot be overstated" (p. 28). Specifically, they argued that surveys provide essential "feedback regarding the public's perception of officer performance, and they can help in assessments of the effectiveness of police department communication with the public" (p. 28). Surveys of community residents can also help the police structure their priorities and "can alert the police to problem areas and discontents simmering beneath their attention" (Marenin, 1989, p. 80). (Benedict et al., 1999, p. 145)

Research has shown that media representations of police impact the way that citizens view the performance of their local police (Maguire, Sandage, & Weatherby, 1999, p. 188); therefore, it will be important to consider that Charleston has a widely circulated student-published newspaper. It would be foolish to discount the fact that *The Daily Eastern News* sometimes publishes editorial commentaries presenting police actions in an unfavorable light.

Charleston is undoubtedly affected by a factor that has been demonstrated by numerous researchers (most recently Cheurprakobkit in 1999)—that younger people tend to view police more unfavorably than their older counterparts, as cited in Brown and Benedict (2002). In addition . . .

Young respondents are less likely than older respondents to think that police should deal more aggressively with crime (Hindelang, 1974, p. 106), more likely to think that police use too much force (Jefferies et al., 1997, p. 389; Langan et al., 2001, p. 20), and more likely to be dissatisfied with the treatment afforded them by the police (Walker et al., 1972, p. 63; Weitzer, 1999, p. 839). In addition, Cordner et al., (1986) found that college students evaluated campus police less favorably than did faculty and staff. (Brown & Benedict, 2002, p. 554)

We can draw some conclusions about a direction for policing in Charleston from more general studies. While the amount of research available on young people's attitudes toward police is limited, some research with juveniles showed that "positive contact with the police increases favorable evaluations and negative contact reduces favorable evaluations," according to several studies cited by Brown and Benedict (2002) (Buoma, 1973; Cox & Falkenberg, 1987; Hurst & Frank, 2000; Rusinko et al., 1978) (pp. 556-557).

In addition, we learn that . . .

Psychological research also indicates that: adolescents' belief systems concerning law and crime are organized and structured in terms of coherent belief systems (Nelsen et al., 1982, p. 56). In brief, it is normal for juveniles who engage in illegal behaviors and view such behaviors positively to view the police negatively. (Brown & Benedict, 2002, p. 558)

But does the college student in Charleston, Illinois, react like the juveniles surveyed in this study?

Perhaps because of their greater resources in time and money, documentation of community policing programs in populous urban areas is widely available; however, this research is not necessarily applicable to a rural community and could, in fact, be misleading. If surveys for large cities do include university populations, they would not be able to document the impact of a student presence that is actually greater than this rural community's nonstudent population. It is more than community pride that leads to the conclusion that Charleston presents unique problems and opportunities in community policing. Although the university environment presents challenges, a university's culture encourages research and study of social problems. That is why EIU allocated time and expertise to gathering and analyzing information for an earlier study of the community's nonstudent population. Especially with the special resources available to Charleston, there is no need to rely on surveys of other, very different communities. As Benedict et al. (1999) emphasized . . .

The fact that the vast majority of community policing programs have been developed and implemented within metropolitan areas creates a problem for small town and rural law enforcement agencies searching for information on how to develop effective community policing programs. Specifically, it would be a mistake to automatically assume that successful urban or suburban policing tactics are suitable for smaller, rural communities. (p. 147)

As a starting point in approaching Charleston's unique needs, there is a general body of research that helps define and narrow the problem. For example, Sims, Hooper, and Peterson (1999) documented that studies that have been conducted

on the local and the national scale have shown that "...generally speaking, citizens do have a positive view of the police" (p. 468).

Some predictors of attitudes toward police cannot be evaluated without a local survey. For example, students tend to be cash-poor and lack luxuries. Many studies show that low socioeconomic status for a demographic group correlates with negative attitudes toward police (Brown & Benedict, 2002, p. 554); however, is this a significant factor in a college town, where many students seem to perceive themselves as impoverished,\* but return to their more affluent parental homes regularly?

An even more interesting, and complicated, issue is raised by the effect of education upon perceptions of police. Brown and Benedict (2002) opined, "it may be that better-educated people are more likely to hold liberal attitudes favoring civil liberties and, as a result, view the police less favorably than those with lower levels of education" (p. 565). They documented the research that shows that an increase in the level of higher education corresponds to a decrease in positive perceptions of the police. If this is so, we need to consider that an unavoidable result of the process of university education is the continual transformation of students into people who are more inclined to question the practices of authorities, most importantly, the police.

Charleston's unique culture fits a profile of a community that is in need of a well-planned community policing program based upon the specific needs of the diverse population. Brown and Benedict's (2002) exhaustive review article on the available research indicated a few areas that, according to the research available, need more attention by police administrators:

- Tailoring law enforcement tactics to meet the needs of individual communities
- Improving relations with minorities and young people
- Maintaining a professional demeanor, while interacting with citizens
- Developing a good working relationship with the press (p. 568)

Three of these four findings—the first two and the last—support a university survey in Charleston. A survey would help identify local needs, and the high population of young people is a factor that argues for more information to bridge the gap. In addition, we should be able to address the negative perception of the police that is often portrayed by the student newspaper publication, using the survey data. This newspaper is written and edited by students in the university's journalism department.

## **Problem Solution**

The primary purpose of this research is to lay a foundation to convince the city council to actively pursue a comprehensive study in conjunction with EIU's Public Safety Department, the sociology department, and the EIU administration. The goal would be to foster a better relationship between the above-named groups

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\* During 24 years of experience dealing with college students as a Charleston police officer, I have acquired vast anecdotal support for student self-perception as impoverished. Typical statements by students themselves include "I can't afford the fine; I'm a poor college student." As a landlord here for over 10 years, I know that more than half of my student tenants depend on student loans, grants, or parent funds to pay rent.

that would result in more effective and efficient law enforcement by the Charleston Police Department and to create a more positive attitude in the students who are being policed. The possibility of a survey as a tool to improve police-community relations in Charleston should be seriously considered as an opportunity to improve the community as a whole. Consider the advantages demonstrated in the research reviewed by Brown and Benedict (1999):

Surveys can be used to assess officer performance, police services, and police-community relations as well as to help police structure their priorities, alert police to local problems, and evaluate community-policing programs (Beck et al., 1999, Carleson & Sutton, 1981; Gnagey & Henson, 1995; Hesketh, 1992, Marenin, 1989; Oettmeir & Wycoff, 1998; Peak et al., 1992; Percy, 1986; Skogan, 1975; Thurman & Reisig, 1996; Weisel, 1999). (p. 546)

Unquestionably, a well-managed community policing strategy can produce significant benefits for the community. After a study of community policing by the Reno, Nevada, Police Department (RPD), Peak et al. (1992) reported, "the community policing efforts in Reno contributed to significant improvement in the RPD image and in the community perception of its overall performance, handling of offenders, and feeling of concern projected by street officers" (p. 38).

It is equally certain, however, that a badly planned and managed community policing program can be a waste of resources. Greene and Decker's (1989) community policing study documented a project that was followed by decreased citizen support for the police (p. 115). Other studies compiled by Brown and Benedict (2002) indicate that support for community policing activity is stronger for certain activities than others; that is, more traditional law enforcement tasks (e.g., criminal investigations) were favored in these studies over service-oriented programs like graffiti removal or handling lost property (p. 560).

The outcome of serious research will almost certainly require changes to the administrative and day-to-day practices of the Charleston Police Department. The use of existing research will help to smoothly implement the change and even offers answers to potential objections that may be raised. For example, Cochran et al. (2002) found that . . .

. . . since officer receptivity to organizational change is not associated with officer socio-demographic or work experience characteristics, agencies seeking to implement changes, such as a shift toward community policing, may be comforted to know that they can do so without threatening other efforts to diversify and professionalize their force and, in addition, may implement such changes without creating unnecessary anxiety among their current employees. (p. 527)

The study also identified the personal or cultural characteristic of a "pro-service work orientation" as a factor associated with receptivity to change (p. 527). This research can aid in the selection of officers to carry out a new community policing program.

The results of the Charleston community survey will be unique to that community, but a review of other studies of community policing programs can help to avoid

costly mistakes. The study of implementing community policing changes by Cochran et al. (2002) concluded . . .

Finally, as suggested by others (Amburgey, 1993; Lurigio & Skogan, 1994), our findings most strongly support the need for law enforcement agencies to be properly prepared and readied prior to implementing community policing. This involves . . .

- Elements of planning, training, staffing, and otherwise resourcing the initiative.
- The requisite decentralization of power and authority within the agency.
- The cultivation of the proper problem-solving and service-oriented mindset among those tasked with carrying out the day-to-day activities of community policing.
- The establishment of working ties with both the community and the other service providers.
- The presentation of a true and honest commitment for the community policing effort by both agency administrators and management at all levels of functioning.
- All other aspects of pre-planning and preparation necessary for a successful operation. (pp. 528-529)

Charleston's local university could be involved in conducting and interpreting the survey, as a project in conjunction with the local police department, similar to the earlier survey. The survey itself would pave the way for a successful community policing program because, if carefully publicized, it would communicate to the university population that the local police department has an active interest in determining and meeting their needs.

It is clear that we as law enforcement professionals can plan to improve the relationship between our agency and the citizens we serve. Police behavior makes a difference, and that is something we as administrators have the power to influence and change. "Seemingly insignificant behaviors, such as an officer exhibiting rude conduct to a citizen, a police officer ignoring traffic laws and parking signs, or public resentment of officers receiving minor gifts and favors are breeding grounds for larger problems" (Jones, 1999, p. 202). Scaglione and Condon (1980) found that the factor that impacts an individual's perception of the police most is *not* age, socioeconomic status, or race, but *contact with police*.

For example, some studies reviewed by Brown and Benedict (2002) show that an individual's experience during a routine police contact has a great influence over his or her evaluation of overall police performance. All avenues of communication during any type of police contact with the public should be evaluated, which would include body language, tone of voice, and demeanor.

Some research indicates that witnessing and having knowledge of inappropriate police actions are correlated with negative perceptions of the police (Thomas & Hyman, 1977). Smith and Hawkins (1973, p. 141) noted that, although much of the wrongdoing respondents had witnessed "was relatively minor, it did have a significant impact on attitudes toward the police. Dean (1980, p. 457) reported that the variable with the strongest influence on general service evaluations is

citizen knowledge of police mistreatment of members of the public. (Brown & Benedict, 2002, p. 551)

Our local survey should help us establish which police behaviors cause the most misunderstanding by citizens. We can then begin to target the sources of dissatisfaction.

There is a need to educate people about the realities of police work, and that is a difficult task. The life-and-death risks of police work require precautions that appear annoying and overbearing to those who do not take such risks. Routine contacts with citizens, such as issuing traffic tickets or dealing with the parents of a juvenile in a minor offense, tend to be unpleasant for the people involved. As one observer commented regarding a 20-year police veteran, "You've met every person in town on the worst day of their life." It takes a citizen with a basic understanding of the duties of the officer to appreciate good police work.

To really reach the citizens we hope to influence, it is critical that the process of gathering information extends to seeking citizen input and involvement—not just to identify their concerns but to allow them to help develop and create the response of their police department. Brown and Benedict (2002) identified metropolitan surveys that were too limited because they left the people surveyed out of the process of solving the problems that concerned them most (p. 535). The Charleston survey must also seek information about possible solutions and about approaches to finding these solutions.

Police without community support cannot succeed. We depend on the community for resources, information, and evidence to support criminal prosecutions. Brown and Benedict (2002) noted . . .

Another reason why perceptions of the police are important is that public distrust of the police may reduce the ability of the police to control crime. As noted by Decker (1985), citizens who are dissatisfied with the police are less likely to contact them or provide officers with information about criminal activity. This is important because some studies indicate that fear of crime lowers evaluations of the police (e.g., Percy, 1986; Reisig & Giacomazzi, 1998). Thus is it conceivable that negative perceptions of the police contribute to a cycle of reduced police effectiveness, increased crime, and further distrust of the police. (p. 545)

A targeted survey of the Charleston, Illinois, university population would be, therefore, more than a tool improving the level of satisfaction with the police. It would also contribute to a functional working partnership between the police and the community, a partnership that is essential to carrying out fundamental police duties.

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# Creating a Partnership with the Hispanic-American Community

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Working in a country as culturally diverse as the United States, American law enforcement must cope with many factors that are not present in other societies in which there is one prevailing culture and language. In the United States, this diversity means the melding of many, sometimes vastly different, cultures. Some members of these cultures speak a language other than English. This can present a barrier to effective communication between the most visible representatives of local government, law enforcement officers, and the members of these groups. Members of the Hispanic population in particular, are disadvantaged in this regard, in that they predominantly speak the Spanish language and hail from a culture with which the typical American police officer is unfamiliar. This “wall” can erode trust between the two groups and hinder the formation of a sincere and productive relationship. This article will attempt to determine to what degree, if any, culture and language affect this relationship between American law enforcement and the Hispanic community, and additionally, offer each some possible solutions to problems or issues that may exist.

## History

Between 1970 and 1997, the Hispanic population increased from an estimated 9.1 to 29 million people (United States Department of Commerce, 1973, 1997). It is estimated that by 2009, Hispanics in the United States will outnumber African-Americans (Russell, 1998), and that by 2050, 47% of the population in the United States will be Hispanic (Herbst & Walker, 2001)

*Hispanic* is a generic term referring to all Spanish-surname and Spanish-speaking people who reside in the United States and in Puerto Rico (a U.S. territory) (Shusta, Levine, Harris, & Wong, 2002). The following historical review will focus on these larger communities.

Under the declaration of Manifest Destiny, a phrase used by leaders and politicians in the 1840s to explain continental expansion, the United States began annexing vast territories to the south, north, and west. It was inevitable that conflict would arise with Mexico, and in fact, war broke out in 1846. The war ended in 1848 with the signing of the Treaty of Guadalupe Hidalgo, in which Mexico received \$15 million from the United States for the land that is now Texas, New Mexico, Arizona, and California, with more than 100,000 Mexican people living in those areas. One-third of Mexican Americans can, therefore, trace their ancestry to families living in the United States in the mid-1800s. The majority of this group, however, migrated into the United States after 1910 because of economic and political changes that occurred as a result of the Mexican Revolution (Shusta et al., 2002). Mexican Americans comprise 58.5% of the total Hispanic population in the United States, and Illinois is one of four states with the highest percentage of Mexican Americans in the country (United States Census Bureau, 2001).

Puerto Rico was under the domination of Spain until 1897, at which time it was allowed the establishment of local government. The United States invaded Puerto Rico and annexed it as part of the Spanish-American War (along with Cuba, the Philippines, and Guam) in 1898.

Although Cuba (in 1902) and the Philippines (in 1949) were given their independence, Puerto Rico remained a territory of the United States. Following World War II, large numbers of Puerto Ricans began migrating to the United States. With citizenship status, Puerto Ricans could travel easily and settled in areas on the East Coast, primarily New York City. The estimated number of Puerto Ricans in the United States is 2 million on the mainland and 3.9 million on the island (Shusta et al., 2002).

Cubans immigrated to the United States in three waves. The first wave occurred between 1959 and 1965 and consisted of primarily white, middle-class or upper-class Cubans who were relatively well-educated and had business and financial resources. The second wave of Cuban immigrants occurred between 1965 and 1973. This second wave resulted from the opening of the Port of Camarioca, which allowed all who wished to leave Cuba to exit. Those who left were more often of the working class and lower middle class, primarily white adult men and women. The third wave of immigrants leaving Cuba from Mariel occurred from the summer of 1980 to early 1982. This third wave was the largest (about 125,000 were boat-lifted to the United States) and consisted primarily of working-class persons, who were more reflective than previous waves of the Cuban population as a whole. Most immigrated into the United States with hopes for better economic opportunities. Within this last group, there were many antisocial, criminal, and mentally ill persons released by Fidel Castro and included in the boat lift (Shusta et al., 2002).

In addition to the three major groups that have immigrated to the United States from Mexico, Puerto Rico, and Cuba, there are immigrants from 21 countries in South and Central America and the Caribbean. Arrival of these immigrants for political, economic, and social reasons began in the early 1980s and has added to the diversity of Hispanic American communities in the United States (Shusta et al., 2002).

## Culture

There is no denying that most Hispanic immigrants hail from a vastly different life experience and culture than that of the average white middle-class citizen of the United States. The concept of personal honor forms the core of the Latino spirit and drives every action and thought. Personal honor is composed of two key components: (1) saving face and (2) preserving one's honor (Torres & Vogel, 2001). Quintanilla (1988) prepared a handbook for the Houston Police Department, which provides an overview of the Hispanic culture. Quintanilla, in addition to stressing the importance of self-pride and personal honor, included such values and concepts as family-centeredness, the importance of the extended family, paternal authority, traditional male and female roles, male *machismo*, and the importance of personal friendships as part of the Hispanic culture.

*La familia* is perhaps one of the most significant considerations in working and communicating with Hispanic Americans. The Latino/Hispanic American family is most clearly characterized by bonds of interdependence, unity, and loyalty and includes nuclear and extended family members, as well as networks of neighbors,

friends, and community members. Traditional sex roles can be discussed in the context of the two codes of gender-related behaviors: (1) *machismo* and (2) *marianismo*. *Machismo* literally means maleness, manliness, and virility. Within the Hispanic culture, *machismo* means the male is responsible for the well-being and honor of the family and is in the provider role. Traditionally, the role of the father has been that of the disciplinarian, decision maker, and leader of the household. The father's word is the law, and he is not to be questioned. The father will tend to focus his attention more on the economic and well-being issues of the family and less on the social and emotional issues. *Marianismo*, on the other hand, is based on the beliefs about the Virgin Mary, in which women are considered spiritually superior to men and are, therefore, able to endure all suffering inflicted by them. Women are expected to be self-sacrificing in favor of their husbands and children. The mother is seen as balancing the father's role through her role in providing for the emotional and expressive issues of the family. Extended family members such as grandmothers, aunts, uncles, and grandparents may supplement the mother's emotional support (Shusta et al., 2002).

In Hispanic families, the older son is traditionally the secondary decision maker to the father and the principal inheritor of the family. In considering the different loyalty bonds, the parent-child relationship emerges as primary, with all children owing *respecto* to parents, older people, and relatives (*respecto* connotes additional cultural meaning than the English term *respect*). If children are disrespectful, they are punished and scolded. In many traditional families, it is considered appropriate for parents (and relatives) to discipline a disrespectful and misbehaving child physically. Adults may at times talk in front of the children as if they were not present and as if the children cannot understand the adults' conversations. In Hispanic households, there is a high reliance on family members (i.e., older children and other adults) to help care for younger children. Both parents often work. As such, it is not uncommon for Hispanic families to have latchkey children or to have older children caring for their younger family members (Shusta et al., 2002).

As in other communities in which English is the second language, Hispanic American children have a special role in being the intermediaries for their parents on external community matters because of the ability of the younger individuals to learn English and American ways of doing things. Children often serve as translators and interpreters for their parents (Shusta et al., 2002).

## **Law Enforcement and the Hispanic Community**

The ever-increasing Hispanic population has created some unique and challenging issues for contemporary American law enforcement. First, and most discernible, is the language barrier that exists between the predominately white, male, English-speaking police officer and the Spanish-speaking Hispanic. In 1963, the California State Advisory Commission to the U.S. Civil Rights Commission concluded that language issues made police-community relations more problematic for Hispanics than for African-Americans. The Commission pointed out that when a person "does not understand the [police] officer's questions or commands, an ordinary contact can escalate into a more serious situation" (Herbst & Walker, 2001, p. 330).

In addition to language, cultural differences are a factor. Somers (1982) indicates that there are many stress factors facing Hispanics in American culture. Integration into

the community is deterred by cultural and language barriers as many Hispanics are suffering cultural and economic shock. The problem is made more difficult because most law enforcement officers are unable to speak the Spanish language or comprehend the Hispanic culture. The National Minority Advisory Council on Criminal Justice in 1982 similarly concluded, "With few exceptions, police do not speak Spanish and know little about Hispanic culture" (Herbst & Walker, 2001, p. 330).

In an early study of police-Hispanic relationships, Carter (1985) found that Hispanics' perceptions of the police appeared to be largely influenced by ineffective communication (both symbolic and linguistic) as well as cultural conflict.

For instance, most Hispanics perceive time globally, while most Anglo-Americans perceive it in precise units. This means that when officers ask a Hispanic a question about time, such as, "At what time did you leave the house?" the answer, in most cases will not be concrete. The person may answer "between 3:00 and 6:00," as opposed to "around 3:30." Due to cultural orientation and training, most officers expect a precise answer and perceive the former answer as a sign of the person's unwillingness to cooperate. Also, due to socioeconomic conditions and cultural orientation, most Hispanics share a household with many other members of their family. It is not uncommon to find two or three generations living in the same home or even sharing the same room. Hispanics, therefore, are not uncomfortable in sharing space around them. Such behavior, often misinterpreted as "invasion of territorial space," can cause friction (Quintanilla, 1983).

Because the father is the central figure of authority, "the arrest of a Hispanic father may be seen as an attack on the authority figure, which must be resisted in order for status to be maintained" (Carter, 1983, p. 217).

Due to the Hispanic Americans' high cultural value for family, officers will frequently encounter the behavior of "eye checking" with other family members before answering a question. For example, a Hispanic family member who witnessed a store robbery may first nonverbally check with other family members before talking and then describe what he or she saw. Many Hispanic Americans, especially younger individuals, find it uncomfortable and sometimes inappropriate to maintain eye contact with authority figures, such as police officers. Strong eye contact with someone who is of higher position, importance, or authority is considered a lack of *respecto* in Hispanic cultures. As such, many citizens from this background may deflect their eyes from gazing at police officers. Officers may read this nonverbal behavior as indicative of a lack of trust or a dishonest response. Showing respect, however, does not ensure trust (Shusta et al., 2002).

The cultural value of *confianza* (or trust) takes some time to develop. Like many from ethnic minority communities, Hispanic Americans have experienced some degree of prejudice and discrimination from the majority community, and citizens with such experiences need time to develop trust with law enforcement officers. In many of the native countries from which Hispanic Americans have emigrated, the police and law enforcement agencies are aligned with a politically repressive government. The work of the police and of law enforcement in those countries is not one of public service; therefore, many Hispanic Americans may have "fear" reactions toward law enforcement officers in the United States (Shusta et al., 2002).

Hispanics are the most likely minority to under-report crime. This under reporting is associated with language barriers and bringing shame to the family. Other reasons for failing to report crime include cultural differences, not being familiar with the processes involved in the criminal justice system, distrust of the system, fear of retaliation, potential for lost wages, unresponsiveness of the police to immigrant's concerns, and lack of transportation.

In addition, myths and stereotypes can contribute to the prejudice, discrimination, and bias that this population encounters and can aggravate the relationship between the police officer and the Hispanic American.

Finally, how will homeland security issues affect not only Hispanic immigration, but all immigration? There has already been movement to have local law enforcement become more proactive in searching for and apprehending illegal immigrants.

## **Review of the Literature**

A review of previous research reveals that there has been relatively little research conducted on Hispanics and their relationship with the American criminal justice system. Because Hispanics are over represented in police, prison and victimization statistics, more research in this area is merited. Herbst and Walker (2000) indicate that their exploratory study examined the effect of language barriers on the delivery of police services through direct observation of police patrol and the 9-1-1 communications center. Language barrier problems were measured in terms of delay, frustration, and conflict in police-citizen interactions. The theoretical perspective for this study represented a combination of culture conflict theory (Sellin, 1938) and conflict theory (Hawkins, 1987). Culture conflict theory holds that cultural differences, including language, explain some (although not all) aspects of criminal behavior and problems in the criminal justice system. Herbst and Walker cite Carter (1983, 1985) who asserted that culture conflict helps explain antagonism between the police and Hispanics. Hawkins' revision of the conflict theory holds that as relatively powerless groups in a historically racist society, racial and ethnic minorities will be treated differently than the white majority. In some contexts, the differential may involve harsher treatment, while in others, it may involve less punitive treatment that is discriminatory in a different sense (e.g., devaluing the lives of minority group victims). Accordingly, Herbst and Walker (2001) hypothesized that the language barrier, as one aspect of culture, will create problems in the delivery of police services to Hispanic residents. These problems will manifest themselves in terms of delay, frustration, and negative attitudes toward Hispanics on the part of police officers.

The site for this study was one quadrant of a large metropolitan midwestern city. Field observations of uniformed patrol officers in the precinct were conducted in June and July of 1999. The observations consisted of 128 hours of ride-alongs divided over all of the shifts.

Calls involving an observed delay due to the language barrier were classified in terms of "major delay" (lasting in excess of 20 minutes, with the delay resulting from language problems and not some other factor) or "minor delay" (less than 20 minutes with some observed delay due to language barrier). If the language barrier did not have any effect on the call completion time, it was classified as "no delay."



Calls involving observed frustration were classified in terms of “major frustration” or “minor frustration.” “Major frustration” was defined in terms of evidence that either an officer or citizen was extremely agitated or upset as a result of the language barrier alone. “Minor frustration” was defined in terms of evidence that either the officer or a citizen was irritated or mildly upset because of language problems.

Conflict was defined in terms of evidence of anger and/or extreme agitation on the part of either an officer or a citizen to the point that either the citizen or the officer used force, or the observer had reason to believe that there was a potential for use of force by one side or the other.

The observer also recorded how officers handled language barrier situations, which were categorized as either “muddling through,” meaning they used the few Spanish words they learned from training, or they used outside resources such as assistance from a Spanish-speaking officer or a bilingual bystander or family member to translate.

Additional data was collected through structured interviews with each officer during the observation period. At the end of the observation period, the officers’ perceptions and attitudes concerning the impact of the language barrier were classified as “concern” or “no concern.”

A total of 98 calls involved officer-citizen contacts, 17 of which were classified as Spanish language-related incidents. Two calls were excluded because the officer spoke fluent Spanish; thus, the analysis was based on the remaining 15 potential language barrier calls.

Herbst and Walker concluded that this study did not support the hypothesis that language barriers create serious problems in police interactions with Hispanic residents. The problems they observed were classified as minor, rather than major. Just over 15% of all police-citizen interactions were classified as potential language barrier situations. Just under half (7) of these involved a major time delay, and four calls (4.1% of all interactions) involved conflict. None of these four conflicts involved the use of force. The most serious problem they observed in the delivery of police services was police officer frustration, which was observed in 73.3% of the potential language barrier interactions.

I disagree with the findings of Herbst and Walker on several of the issues that they addressed. The first issue that struck me as unusual, and in fact appeared abnormal to the authors as well, was that there were virtually *no officer-initiated contacts* with any Hispanic citizens during the entire observation period. Although they considered it “significant,” the authors simply dismiss this lack of contact as “not typical of most police work.” This total absence of officer-initiated contact suggests one of two things. Either all of the officers were neglecting their duties or—and I believe the more likely scenario—officers did not feel comfortable stopping Hispanic citizens while under observation by an outside evaluator for fear their reasoning for detaining the individual would be examined. The authors themselves appear to have realized that this may be an issue when they state that they (the observers) requested that officers not alter their “routine” patrol duties because of the observers’ presence. They requested this to “avoid artifactual police or citizen actions in the observers’ presence.” The reader needs to be reminded here, of the public sentiment that was prevalent at the time this study was conducted and the

scrutiny that police officers were under. Prior to the September 11th tragedy in 2001, racial profiling by police officers was a large social concern and was featured prominently in both the local and national news. *Racial profiling* is a buzzword even today. It seems probable that these officers may have felt it safer to forego detaining anyone, rather than be second guessed as to their basis for stopping the individual, or worse, to be thought of as profiling.

Additionally, several of the officers themselves, during the study, indicated another possible reason for the lack of officer-initiated contacts. They related that they did not make certain traffic stops because they believed they would probably not be able to communicate with anyone in the car. As one officer observed, "If there is a traffic stop with a lot of Hispanics and no one speaks English, I won't even mess with it." Another officer related, "I think a lot of cops when they stop Hispanics . . . they just say drop it and let him go" (p. 337). If police officers are admittedly failing to enforce the law and ensure public safety because they don't want to "mess" with a language barrier, the authors should have found these comments disturbing at the least. In any regard, because officer-initiated interactions unquestionably exist in police work and the authors were unable to observe any, the question of what effect the language barrier may have on these situations remains unanswered.

Conflict relating to language barriers was observed in 4 of the 15 calls (26.6%). An officer involved in one of these conflict situations upon being debriefed stated, "It (the language barrier) makes it really tough to do the job sometimes . . . it's really an officer safety issue. I had no idea what those guys were saying. Like, what if one of them was saying, 'Okay, let's attack these officers?'" The majority of the officers considered it important to at least know enough Spanish to get basic information (e.g., subject identification, driver's license, etc.) and to issue commands in situations involving officer safety. I disagree with the authors' conclusion that language barriers do not create a serious problem. If more than 25% of potential language barrier calls involve conflict, caused by that barrier, then safety issues for both the police and the citizen are definitely a concern and should not be dismissed. Arguably, the greatest concern regarding the potential for conflict is officer-initiated interaction, which was touched on previously. These interactions typically occur in the form of a detention, as in a traffic or Terry stop; an arrest for which probable cause exists; or in situations in which the police are seeking information, usually from a witness or a victim in a crime. Detentions and arrest situations, by their very nature, have a higher probability for confrontation, conflict, or deception than most citizen-initiated calls for service. When communication is compromised by a language barrier, the potential for a problem arising is compounded.

As indicated earlier, there were only 15 calls that were analyzed in the Herbst & Walker study. Of these 15, 7, or just under half, involved what the authors described as a "major delay." Another 6 calls involved a "minor delay." Therefore, every call, with one exception, involved some delay due to the language barrier. When officers were debriefed after these calls, some called the process "muddling through." Others stated that they just tried to "figure it out," meaning that they *attempted* to obtain as much information as possible to complete the call. Delay in and of itself is a concern; however, just as important is the question of whether or not the quality of the police service was jeopardized because of this barrier. The authors indicate that 12 officers (75% of the total interviewed), expressed concern about the effect of the language barrier on their ability to perform their job. One of the officers involved in the study

viewed the language barrier not only as an obstacle to obtaining needed information but as the inability to provide effective police assistance: "The way I figure, we're here to provide a service and if you can't provide service to a certain group of people, then you're not doing your job." Another officer speaking about making traffic stops with Hispanic drivers related, "... there is nothing more frustrating than not being able to communicate; it limits your ability to do things" (p. 337).

Officer frustration was observed in 11 of the 15 language barrier calls (73.3%), 6 of which were deemed as "major frustration" defined as evidence that the officer was extremely agitated or upset as a result of the language barrier alone. In those calls in which officers experienced frustration, a common theme among some of the officers was that the *outcome of the call would have been substantially different if the language barrier had been absent*. One officer indicated after a particular call, "Now see, if I could have spoke with him, he probably wouldn't be going to jail" (p. 335). Most citizens in a free, democratic society would agree that arresting and placing an individual in jail because the officer could not communicate with the him is an egregious violation of that person's constitutional and civil rights. If, in fact, people are being arrested and incarcerated, even occasionally because of a language barrier, it is and should be considered a serious law enforcement issue.

Also questionable is the authors' statement that "Four officers in the study expressed no concern about the effect of [the] Spanish language barrier on their ability to perform their jobs" (p. 336). In fact, these four officers were not expressing that they had *no* concern about the language barrier affecting their ability to conduct their job, but rather that it was simply *not their responsibility* to provide the solution. The officers indicated that it was not their responsibility to learn Spanish and stated that Hispanic citizens should learn English.

Although this study meant to address the impact of a language barrier on the delivery of police services, I feel that more research needs to be conducted. Herbst and Walker themselves concur when they indicate at the end of their study that "It is possible that special police units, including primarily the gang and narcotics units, have both a higher rate of contact with Hispanics and more conflict in their interactions than the patrol officers observed in this study." They further state, "the findings of this study may not be generalizable to other sites," and "further research is needed on police-Hispanic interactions in these different contexts" (p. 339).

## Officer Training

Police departments serving Hispanic citizenry should have at least some rudimentary training in the language and culture. Hopefully, as the Hispanic population increases, this training will become more standardized and commonplace, making programs easier to implement.

One of the earliest programs was established in 1978 by the Houston Police Department to help officers cope with the stress that can be generated when they are challenged by the duty of effectively communicating with others of a different language.

Officers attend these classes twice a week, 3 hours a day, for 8 weeks. The objectives are as follows:

- To develop the officer's understanding of Hispanic people and their culture
- To provide some language training to officers
- To expose the officers to a cross section of the Hispanic community
- To motivate the officers to continue learning about Hispanics and their language

The approach is one of interaction, and students have an opportunity to share information and strategies for coping. The classes consist of a combination of lectures and discussions on Mexican-Americans, Chicanos, Spanish-surnamed Hispanics, and undocumented aliens. Where do they come from? When did they appear in this country? What is the relevance of such information to law enforcement officers? Why are officers responsible for learning about these groups? How is this knowledge applied to aid in effective interaction with members of the Hispanic community? How can this knowledge be useful on the streets, particularly during stressful circumstances? Various components of Hispanic culture are discussed, including the spoken language, body language, values, and bonding, emphasizing the impact that each component may have on an officer's work (Quintanilla, 1983).

In the language component of the class, officers are taught to concentrate on key words that can answer their questions instead of trying to translate every word in a conversation. Officers are also exposed to numerous words that, if not understood, could increase the danger of a situation. During the latter portion of the program, officers work with members of the community. Volunteers from the Hispanic community come to class to allow the officers to put into practice what they have learned during the instructional period. They play the role of victims, lawbreakers, or any other role that is helpful to the officers. Through these role-playing exercises, citizens are also taught important points about police work. Volunteers come from a cross-section of the community and range from 6 to 80 years of age. They are also from diverse educational and socioeconomic backgrounds (Quintanilla, 1983).

Some of the problems encountered during the implementation of the community/officer interaction segment of the program were interesting. For instance, some of the citizens were reluctant to sit close to an officer wearing a uniform, and when they finally did, tension was evident via posture; body language; and other physical signs, such as heavy perspiration. Gradually, friendly interaction took over, and people relaxed. A good example of this was a 56-year-old man who drove his car for 20 years without a driver's license. He learned from the officers what action he needed to take, felt comfortable approaching uniformed officers at the motor vehicle office, and now displays with pride his newly acquired license (Quintanilla, 1983).

At the conclusion of the course, a fiesta is prepared by community people for the officers. Hispanics of all ages participate in this endeavor, which had a bonding effect for both groups.

Numerous benefits to this program were cited, including the following:

- Both officers and citizens are sensitized to each other's differences, problems, concerns, and similarities.
- Language learning takes place not only on the part of the officers participating in the program but also on the part of the community people who learn English from the officers (it was observed that many officers stayed after class to continue learning Spanish and teaching English).
- The officers provide additional and different role models in the community for children and for young people to follow.

Evaluations are an important component of the program's strength and development. At the end of 8 weeks, evaluations are given to students concerning the content of the course as well as the applicability of their newly developed skills. A different evaluation form was developed for community people to evaluate the program and the officers. The evaluations were used to determine the effectiveness of the program in terms of quality of instruction, value to the officers, and benefit to the Hispanic community (Quintanilla, 1983).

The success of this program has been attributed to the enthusiasm and dedication of the officers, the support of the police administration, and the support of the members of the Hispanic community (Quintanilla, 1983).

## **Community Outreach Solutions**

First and foremost, the police department must be the first to reach out to the Hispanic community, having specific goals in mind as to what it is they wish to achieve. Goals may vary depending on the agency and city. If the reduction of crime is the foremost objective, then certain programs such as citizen ride-alongs probably will not be a priority. In such a scenario, saturation patrolling during peak crime periods would be much more productive. Goals are going to drive the formation of the plan and the specific steps necessary to achieve success. Once goals are established, personnel should be identified who will be the best fit to create a plan and implement the program. Everyone who has a stake in the project should be involved in planning. This "think tank" will provide critical input and instill members with a sense of ownership in the project. The plan itself should be detailed enough to provide direction for the people implementing it but also flexible enough to be altered when unexpected circumstances arise. The objective here is to create the most effective and efficient means of reaching the Hispanic community in such a way that a productive, sincere relationship is formed; quality of life is improved; and at the same time, the fear of crime as well as actual crime is reduced. The program discussed below provides the most benefit to both the Hispanic population and the police department, in that both become partners in learning. Also addressed are several other possible alternatives that would also work well alone or in conjunction with this program.

Most high schools in any area where there is a substantial foreign-language-speaking community will provide an English as a Second Language Curriculum for adult and teenage learners. Entering into a partnership with the high school provides a legitimate forum and is a perfect inroad for a community outreach program sponsored by the police department. Again, planning is the key to success. Officers in charge of the project should meet with high school staff who will be teaching the course, as well as Hispanic community leaders and lay people to develop the most beneficial program. The following format is an example of such a program.

The program should begin with an introduction of the individual officers and an overview of the police department. The officers relate the function of the police department in the community and their own specific roles within the department, informing the students that they are there not only to enforce laws but also to help when someone has a problem—even those problems that may not be police-related.

The officers discuss how to report a crime and place an emergency call to the police department for help. As mentioned earlier, because of language barriers and cultural differences, Hispanics often fail to report crime or problems when they occur. Officers should stress that they (the Hispanic community) should not feel intimidated or afraid to call the police or feel that the police will not be interested in what they have to say.

Officers discuss traffic issues related to drinking and driving and the serious consequences associated with drunk driving. Students are also shown how to obtain a driver's license and how to respond if the police ever stop them. Rules of the road are also reviewed.

Another important issue, domestic violence, is discussed. Immigrant women may be particularly vulnerable to domestic violence because they come from cultures that have less access to legal and social services and may believe that the protection of the U.S. legal system does not apply to them. Fear of deportation (often perpetuated by the batterer) and language barriers may also be obstacles. The officers advise the students about the rights of domestic violence victims, who victims can turn to for help, and what to do if they or someone they know is being abused. They are also given information that they can use to access other agencies that can provide them with medical or victim assistance and counseling.

There is also discussion on what procedures take place should they or someone they know ever get arrested by the police. Their constitutional rights and what they can expect from the police officer are addressed. The differences between felony and misdemeanor offenses are discussed as well as laws relating to juveniles and parental responsibility. They are informed about how juvenile offenses are adjudicated. They are advised that the police are there as a resource for them to address any problem they may be experiencing with a child before it escalates. Parents are also informed about how important it is for them to call the police should their child ever be missing. Illegal drugs are discussed and what parents can do if they suspect their child or child's friend is using or selling illegal drugs.

Gangs are brought up for discussion: what they are, how they are formed, the colors and symbols that are commonly used by the various gangs, the types of crime associated with gang activity and what parents can do if their child is suspected of being involved in a gang, home safety and security, and personal safety tips.

Other city departments are also discussed briefly, so as to provide the students with more avenues of assistance.

The students are provided with the names and telephone numbers of officers specializing in various roles within the department, such as the juvenile and school liaison officers, as a resource for them. The officers presenting the program also hand out cards to the students in case they should ever need to speak with them

concerning any matter, police-related or not. The program is designed to allow and encourage a two-way flow of communication.

The police department should attempt to utilize both Hispanic officers and Spanish-speaking Caucasian officers in the program. This will help build rapport with the students. They feel comfortable communicating with the Hispanic officer, and they also appreciate that English-speaking officers have taken the time and effort to learn their native language.

The program's effectiveness is measured through feedback from the students themselves. A survey of the Hispanic community can also be considered for evaluation and can provide insight into whether it might be feasible to branch out into other programs.

The idea here is to begin small and work more information into the program based upon feedback received from the students and the community. Once the program is up and running and a feeling of trust is well-established, it may be desirable to branch out into other outreach programs utilizing the community-oriented or problem-solving models of policing, depending on the resources and personnel that are able to be allocated. Also, the press should be utilized to highlight the cooperative program with the school, which will serve to help perpetuate the program as well. Some other programs that can be considered as alternatives or in addition to the English as a Second Language Program are as follows:

- Spanish language and culture training for officers, such as the Houston model discussed earlier
- A Spanish-language-based Citizen's Police Academy (this would be a good alternative for those agencies without a high school English language program)
- A ride-along program that can also help teach the rules of the road
- Police/Hispanic community meetings
- A city/police web page dedicated to Spanish-speaking constituents
- A mini-city-hall where police representatives (who can also act as interpreters) and a city official meet with Hispanic residents (this can be less intimidating for non-English-speaking people who may be intimidated attending a more formal city hall meeting)
- An adopt-a-cop program in which one officer per Hispanic church meets regularly with the youth at the church
- Police-sponsored alternatives to gang membership, such as a soccer or basketball league
- Hispanic youth awards or scholarships promoting education and recognizing accomplishments in school and the community, sponsored by any combination of city, police, or private businesses

The programs that have been described here are geared towards non-English-speaking minorities and immigrants; however, a good deal of these methods can be implemented with other groups as well.

The recruitment of Hispanic officers to reflect the community is also very important. This provides a sense of ownership in the community for the Hispanic residents, especially if the officer should come from the community itself. It should be incumbent upon every officer to seek out and recruit viable candidates in this regard. Some departments, such as the Columbus, Ohio, Police Department, attend community functions at which they set up a display booth that offers information on employment opportunities within the agency. Job fairs at the local high school would also be beneficial. Outside of the community, colleges and universities are a prime source of recruiting, providing departments with the additional benefit of recruiting entry-level officers who have a higher education degree. Additionally, local Spanish television stations, newspapers, and other publications are a good source of advertisement.

## Conclusion

The Hispanic community is a vibrant and vital element in America. Considering that they are the fastest growing minority population in the United States, and at some point are predicted to become the majority, law enforcement must work towards building relationships with this segment of our society and incorporating its members into their own ranks. The motto on the Seal of the United States is *E Pluribus Unum*, Latin for "Out of many, one." Our history provides many examples that there is unity in diversity. Vice President Hubert Humphrey (1911-1978) said the following in a speech he gave on January 15, 1967 in Chicago:

Fortunately, the time has long passed when people liked to regard the United States as some kind of melting pot, taking men and women from every part of the world and converting them into standardized, homogenized Americans. We are, I think, much more mature and wise today. Just as we welcome a world of diversity, so we glory in an America of diversity—an America all the richer for the many different and distinctive strands of which it is woven.

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**David L. Schwarz** has been employed by the Highland Park Police Department for 20 years. During this time, Commander Schwarz has held the positions of line officer, first-line supervisor, mid-manager, and his current position of investigations commander.

Commander Schwarz has received many years of education and training in constant pursuit of becoming a better police officer. He received a BS in law enforcement administration from Western Illinois University in 1981. Commander Schwarz has participated in many training classes provided to officers looking to further their career as police officers. Training events include Northwestern University Practical Homicide Investigation in 1991, Northwestern University Supervision of Police Personnel in 1993, Northwestern University Managing Police Training in 1996, Northwestern University School of Staff and Command in 1998, and Northwestern University Successful Grantsmanship in 1999.

# Improving Relations Between the Southern Illinois University at Carbondale Department of Public Safety and the Campus Community

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## Executive Summary

The private business sector seemingly invests unlimited resources to gauge the satisfaction of consumers with the products and services that they provide. On the other hand, accurately measuring and maintaining a community's satisfaction with its police department services is an age-old concern. It is perhaps more important for police departments to actively and consistently attend to the satisfaction of the community in which they serve.

The purpose of this article is to examine the benefits of engaging in a more proactive effort by the Southern Illinois University at Carbondale Department of Public Safety (SIUC DPS) to improve relations with the community it serves. This examination is prompted by the expression of dissatisfaction by some members of the community, most notably in the form of complaints about officers. While eliminating every complaint against police officers is highly unlikely, this article addresses the value of complaints in providing feedback for the purpose of improving service.

In analyzing the complaints levied against SIUC DPS officers, a common theme appears. The dissatisfaction with SIUC DPS officers is strongly linked to the public's misinformed perception of how police operate. These perceptions are found to be guided by such factors as negative prior contacts with police officers from outside jurisdictions, the public's perception of crime and the police response in outside jurisdictions, inaccurate media portrayals of police practices and procedures, and general lack of specific knowledge about how officers of the SIUC DPS actually function on a day-to-day basis.

This article also examines the application of the Community-Oriented Policing (COP) philosophy in an attempt to increase positive interactions between the members of the SIUC DPS and the community. It is proposed that working more closely with members of the community will foster greater understanding of not only how DPS officers function but also how the SIUC DPS can better identify and respond to the needs of the community. One of the potential problems noted with the total adoption of the COP model by SIUC DPS is the call for a change in the organizational, management, and supervision functions. Change of this magnitude does not take place overnight. When asked about these changes, SIUC DPS Field Operations Division Captain Todd Sigler was optimistic that these changes could occur with some slight modifications.

It is imperative that SIUC DPS strives to improve its relations with the community it serves. Feedback on how the SIUC DPS fares in the way community satisfaction can be gauged, in part, by addressing the root causes of complaints. The inaccurate public perception of the SIUC DPS works as a hindrance to a more positive relation between the police and the community. Incorporating a community-oriented approach by SIUC DPS would allow for more dialogue and understanding between SIUC DPS and the community. Research data used in this article was gathered from the following sources: SIUC DPS statistical data, SIUC DPS administrator interviews, research journals, and the author's professional experience as a shift commander.

## **Problem Analysis**

### **The Southern Illinois University Department of Public Safety**

SIUC DPS is a fully commissioned police department with 38 sworn full time officers, which operates 24 hours a day, 365 days a year. Empowered by the State of Illinois, DPS officers have full arrest powers and enforce university regulations, local ordinances, and state laws. SIUC DPS has jurisdictional power in any county where the university has an interest.

The SIUC DPS is organized into a Patrol Division, Investigations Division, and Support Services Division. The Patrol Division is the largest and the most publicly exposed division. The Investigations Division is a smaller unit consisting of a command lieutenant, supervising sergeant, and two detectives. The Support Services Division consists of a tactical response team, hostage negotiations team, a joint explosives ordinance disposal unit with the City of Carbondale Police Department, a crime prevention coordinator, and a disaster resource coordinator.

The SIUC DPS serves a university community of more than 21,500 students. According to SIUC (2004), the SIUC student body consists of the following: More than 30% of new freshmen are from Cook County Illinois; 17% are minority students; 100 nations are represented in the on-campus student body; 77% of students come from Illinois, of which 54% are men. DPS also assists the City of Carbondale and Jackson County officers with calls for service in the surrounding area.

### **The Public Perception of Police**

The SIUC DPS has long been involved in a battle for recognition as a bona fide police department. Interestingly, however, it was discovered that the community's perception of the duties that police officers perform is often misunderstood. During an SIUC DPS arrest of a suspect who was operating a motor vehicle while his license was suspended, the suspect remarked "This case is going nowhere, you didn't read me my rights!" The suspect had no real understanding of the application of the Miranda warning. In another case, an SIUC DPS arrestee expressed great concern over the "one phone call" that he would be allowed to make to arrange his bail. It was explained to the arrestee that, unlike the myths of yesteryear, he would be allowed to make a reasonable number of telephone calls. The reliance of the public on such misinformation causes undue stress for those who come in contact with the police, as well as potentially heightened officer safety risks. But, what is the source of such misinformation? For a possible clue, the effects of the television media on public perception of police are examined.

With the advent of police television drama and reality TV, fact and fiction have become mingled, causing the public difficulty in distinguishing between the two. Mason (2003) noted that television media portrayals of police provide a significant source of information relating to the criminal justice system for the British public. Mason (2003) also notes that the British public has great confidence in the reliability of such media-fed information.

While teaching a module for the Police Executive Role in the 21st Century Class (March-May 2004), Dr. Brian Williams of Vanderbilt University gave a chilling example of how television can color a child's perception of the police. Dr. Williams gave an account of a research project in which he asked grade school African American males about their perception of the police. Dr. Williams stated that the children made continuous references to the "non-living man who had no eyes," referring to the character portrayed in the *Terminator* film series. In a study involving 96 children, ages 1, 3, 5, and 7, Durkin and Low (2001) revealed that television is likely to be the primary source of information about the police and justice system unless counteracted by real contacts with actual police officers. Durkin and Low also point out that as children increase in age, real-life experience with real police officers should make children less vulnerable to the effects of TV distorted portrayals of the police.

Perhaps also media-influenced, but more so situationally influenced, is the phenomenon of projecting previous negative encounters with other police departments onto the officers of the SIUC DPS. As mentioned previously, the SIUC DPS service community is comprised of a diverse and transient population. Contacts with transient community members who have had negative experiences with outside agencies can affect the quality of their interactions with SIUC DPS officers. In one case, a student stopped by a SIUC DPS officer during a field investigation automatically held both of his hands in the air above his head. The student explained that he was from Cook County, and he thought this was a standard procedure for all police. In several other instances in which traffic law violators were stopped, the driver placed his or her hand at the 12 o'clock position on the steering wheel. The general explanation in each case was that the driver did not want to alarm the SIUC DPS officer. Such conditioned responses are positive in that these citizens have learned that officer safety is of the utmost importance to a police officer.

### **Complaints Against Officers**

One of the most notable effects of the breakdown between police-citizen relations takes shape in the form of complaints against the police. Johnson (1998) recognized that citizen complaints against police officers can be an indicator of the community's satisfaction with police service. Johnson also points out that the manner in which a department investigates officer complaints has a direct bearing on police-community relations. The police should solicit the respect of the community that they serve by the manner in which they serve (IACP, 2004).

Complaints against officers can be divided into two general categories: (1) use-of-force issues and (2) nonforce issues. In 2002 and 2003, the SIUC DPS (SIUC DPS, Officer Complaint Statistics, 2002 – 2003) received a total of two use-of-force complaints and ten non-force-related complaints. While both types of complaints are worthy of close examination, it is the non-force-related complaints that will be

emphasized in the hope of improving relations between SIUC DPS and its service community.

According to the SIUC DPS procedure (SIUC DPS, Officer Complaint Statistics, 2002 – 2003), when citizens wish to pursue a formal complaint against an officer, they may contact any supervisor. The citizen will be given the opportunity to file a written, notarized complaint affidavit. The complaint is then forwarded to the Field Operations Division (FOD) commander. The FOD then routes the complaint, according to its nature.

Complaints that are criminal in nature or constitute a civil rights violation are forwarded to the director. These complaints are then assigned to the SIUC DPS investigations commander for internal review, to the Jackson County State's Attorney's Office for criminal charges review, and to the Illinois State Division of Internal Investigations for investigative review.

The FOD assigns all other complaints to a supervisor for investigation unless a resolution has already been reached at the intake stage. The results of all formal complaint investigations are forwarded to the director for disposition.

One of the drawbacks to the current SIUC DPS complaint system is that officers are not necessarily advised that there is an in-process complaint investigation. This leads to a "guilty until proven innocent" feeling among the officers, as well as resentment towards the SIUC DPS administration.

Johnson (1998) also cites the following information concerning citizen complaints against police officers in larger cities. First, according to the studies conducted in Chicago, St. Louis, and Philadelphia, the profile for a person who complains against the police is likely to be young, unmarried, low-income, nonwhite, and male with prior police contact. The officer who is most likely to receive a complaint is assigned to uniformed patrol is younger than 30 years of age, has less than 5 years of experience, and has only a high school degree. In addition, studies conducted in Florida, Illinois, Missouri, Pennsylvania, and Washington showed that 50% of complaints arise out of accusations of rude or inappropriate comments made by the officers. In addition, over 50% of officer-initiated contacts resulted in a complaint as compared to calls for service for which the officer reacts to a dispatch.

## **Problem Solution**

### **Affecting Public Opinion**

The interaction between the police and the community they serve is often at a disadvantage before it ever begins. A number of factors influence the public's opinion of the police in general. The U.S. Department of Justice (2003) reported on the results of a Los Angeles survey on residents' opinions of police job performance and demeanor. The survey revealed that the greatest factor in public satisfaction with the police revolves around the public's perception of their own quality of life. While the police can not directly address one's personal perception of life quality, the survey also revealed another important determinant affecting the public's satisfaction with the police. That is, the quality of informal interaction of individual officers with citizens; therefore, in the quest to improve relations between the SIUC

DPS and the service community, it is essential that individuals strive for the highest quality in their daily interactions with citizens.

I recently had the opportunity to experience the effects of this “total consistent quality” philosophy when I visited a sick relative in a Chicago area hospital. Already under duress, I wandered through the vast corridors and departments in obvious need of assistance. With each employee interaction, I quickly noticed a consistent, positive willingness of each employee to assist me—from the attendant who served coffee to the nurses who acted as liaison to the many physicians. Even the janitor understood my anxiousness and allowed me access to private areas of the hospital. It was as if someone had sat down with each employee and told them “be as nice and helpful as you can possibly be.” As a result, I was extremely satisfied!

What can police administrators do to improve the quality of police encounters? According to the U.S. Department of Justice National Institute of Justice (2003) report, police administrators should have a three-fold approach to improving police-public encounters:

1. Encounters that are in need of the most improvement should be identified and targeted. Officer complaint information may be a good source for identifying these types of encounters. Also, procedures could be established that direct officers to engage in routine practices such as remaining patient, taking extra time to explain actions or situations, or doing follow-up contacts after a case investigation.
2. Administrators should inform the public of the kind of behavior that might be expected from the police during the various types of encounters.
3. Police administrators can influence the quality of police-public encounters through training and supervision.

In short, the public expects the police to behave professionally, courteously, respectfully, and without sarcasm. Taking the time to explain the rationale of police behavior in police-public encounters builds an atmosphere of public satisfaction.

### **Complaint Resolution**

As mentioned previously in this discussion, non-force-related officer complaints far outweigh excessive force-related officer complaints at the SIUC DPS. Complaints surrounding accusations of rude comments, officer demeanor, and police procedure are typical at the SIUC DPS. Johnson (1998) noted that citizens appeared to be more sensitive to *how* police officers spoke to them, rather than what was said. The complaint process then can be used to identify training needs, such as interpersonal communication skills or diversity training. The complaint process can have an even greater impact on educating the public.

Under the current system for receiving complaints against SIUC DPS officers, there is little or no emphasis in formalizing the initial contact with the citizen. In a report titled *Mediating Citizen Complaints Against Police Officers: A Guide for Police and Community Leaders* by Walker, Samuel, Carol Archbold and Leigh Herbst (U.S. Department of Justice, 2003), the merits of moving away from the traditional complaint process and more toward mediation and alternative dispute resolution

(ADR) are explored. As defined in this report, mediation is the informal setting of a complaint or dispute via a face-to-face meeting of involved parties facilitated by a neutral party. This U.S. Department of Justice (DOJ) report also points out that mediation is a complex proposition that does not have application across the total complaint spectrum. For example, mediation is not suggested for use-of-force-related issues and some non-force issues.

Nevertheless, an adapted mediation process could be a valuable tool in not only resolving complaints but also fostering better relations between the SIUC DPS and the community if implemented in the initial stage of a complaint. In adapting the mediation process for SIUC DPS, the facilitating party could be a traditional internal investigator or trained supervisor. This is based on the lack of public opposition to current departmental triers of fact.

The DOJ (2002) report cites several benefits of mediation that would possibly apply to a DPS mediation-emphasized complaint process. First, it would give the police officer the direct opportunity to explain his or her actions, thereby educating the citizen. This is especially important since many of the complaints generated against SIUC DPS officers are the result of misunderstanding or miscommunication. This interaction might also foster better future relations between SIUC DPS and the complaining citizen. In addition, the mediation process may relieve the officers' feelings of "guilty until proven innocent" because they have more involvement in the process. This process would also be quicker and yield a more immediate disposition than the current traditional complaint process. Citizens are also empowered by their direct input into the resolution process. The complaining citizen educates the department by expressing important issues as a representative of the community.

## **Community-Oriented Policing**

At the outset of this article, a key element in promoting a more proactive effort to improve relations between the DPS and the community hinged upon the call to adopt a total community-oriented policing philosophy. Upon closer review of SIUC DPS focus on community-oriented policing, it is evident that SIUC DPS gives significant attention to this subject. SIUC DPS is involved in such community-oriented activities as crime prevention programs, neighborhood watch programs, safety programs, community social activities, foot patrol, bicycle patrol, crime bulletins, and more.

Although the SIUC DPS has not adopted a total community-oriented policing program/philosophy, it does practice a number of key dimensional elements such as citizen input, broad police function, reoriented operations, crime prevention and proactive orientation, partnerships, and positive interactions. These elements comprise the four dimensions of community-oriented policing as outlined by Jurkanin, Hoover, Dowling, and Ahmad (2001): (1) philosophical, (2) strategic, (3) tactical, and (4) organizational.

In an interview with Captain Todd Sigler, SIUC DPS Field Operations Division Commander (FOC), I inquired whether he thought that the SIUC DPS could adopt a total community-oriented policing philosophy. Captain Sigler was confident that this was an attainable goal, but he was opposed to the term "community-oriented policing." Captain Sigler stated that he favored terminology that encapsulated more of the partnership aspect of the philosophy. When asked whether he thought that

the departmental hierarchy could be flattened (i.e., more decision-making authority given to line officers), Captain Sigler felt that it could be accomplished successfully. On this issue, Captain Sigler added that accountability measures would also be a key factor in the empowerment of the line officer. When asked to what extent he thought SIUC DPS was currently involved in community-oriented policing, Captain Sigler advised that it is utilized among university constituents as applicable, but not universally (personal communication, April 19, 2004).

## Conclusion

Maintaining the public's satisfaction with the police is an important and worthwhile goal of every police department. Improving relations between SIUC DPS was the focus of this undertaking. Hindrances in the effort to improve police-community relations are found in factors that negatively influence the public's perception. Factors such as inaccurate media portrayals of police and prior negative contacts with police cause dissatisfaction of the police by the public, which can result in officer complaints. Officer complaint resolution ultimately informs and educates both the police and the community member. An important influence of public opinion of police is quality informal contact with police. The DPS is currently involved in a number of community-oriented policing activities that promote positive relations between its officers and the university community.

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Sergeant Tucker has been honored for career program presentation at Carbondale Community High School, served on the police-community relations task force, and participated in several police-community panel discussions. Sergeant Tucker has also been honored for work with the Carbondale community Head Start program, is an active member of the male mentoring program, and is an active church member.

# Beyond Pepper Spray: Less Lethal Options for the Patrol Division

Patrick D. Quillinan, BS, Operations Commander, Lincolnshire Police Department

## Executive Summary

Recently, two Lincolnshire police officers were involved in the arrest of a disorderly subject at the Regal Theater. Preliminary investigation indicates that the offender was under the influence of both alcohol and drugs. As the arrest took place in a crowded theater, the use of pepper spray and collapsible batons were not a viable option. Hands-on control tactics were employed resulting in the injury of one officer with an estimated 10-week recovery period. If the officers had been issued tasers and trained in their proper use, this arrest may have had a more positive outcome.

In their day-to-day duties, law enforcement officers are often called upon to confront people that refuse to comply with their verbal directions. In order to gain compliance or effect an arrest, police officers must consider a measured use of force, which in the past was limited to use of hand controls (i.e., physical strength) or use of intermediate weapons that included the nightstick, police baton, or PR-24. The misuses of batons have often been the focus of civil and criminal complaints against the police for excessive use of force. The close distance between the officer and the offender has led to injuries being suffered by both, which is costly to law enforcement agencies on several levels.

Since the "Days of Rage" of the 1960s law enforcement has used CN (Chloracetophenon), a riot control agent, or CS (Chlorobenzylidene Malonitrile), commonly referred to as tear gas, for crowd control or the dispersal of riots on the street, college campuses, or prisons. This led to hand-held mace type sprays. In the early 1990s, a new control tool was introduced in the form of oleoresin capsicum (OC) or pepper spray. OC was at first considered by many as the answer to reducing the number of incidents involving officer and offender injuries and decreasing litigation involving the nondeadly use of force. The actual results were not as spectacular as hoped as variables came into play including its effectiveness against offenders under the influence of drugs, how the OC was deployed, the strength of the formula, etc. Additionally, pepper spray still brought the police officer within close proximity of the offender, which provided the opportunity for "blow back" of the spray onto the officer.

What option does an officer have when he or she receives a call of a subject armed with a weapon other than a gun, such as a baseball bat, brick, or knife? The stand-off that would normally ensue is too far off for the deployment of pepper spray. In the past, a justifiable response could be the use of deadly force, as other options were not readily available until the development of less-than-lethal weapons.

The less-lethal tool box has an ever-growing number of instruments that have the ability to successfully deal with the aforementioned scenarios. Consistency in the terminology of these weapons is open to debate. As this article developed, it became

clear that less-than-lethal, nonlethal, less-lethal, and impact projectiles could not and should not be used interchangeably. Less-lethal weapons are designed to stop noncompliant individuals with a minimum amount of force. *Less-lethal* will be used throughout this article to discuss weapons under consideration for distribution to patrol division personnel, including kinetic munitions (beanbag and sock rounds), pepper ball pistol launchers, tasers, thunder rounds (distraction), and rubber rounds. Future less-lethal technology needs to continually be examined and evaluated as it is developed.

The Lincolnshire Police Department Patrol Division's current less-lethal weapons are collapsible batons and pepper spray. Conducting research for this article provided the opportunity to evaluate other instruments that are currently in use throughout the United States and England. Additionally, current legal decisions on the use of less-lethal weapons are examined as is the training needed to reduce civil liability to the Village of Lincolnshire and injuries to police department personnel and arrestees.

## Purpose

The purpose of this article is to examine the current state of less-lethal weapons beyond what is currently issued to patrol division personnel of the Lincolnshire Police Department. A short history of the development and use of these weapons will provide a foundation to better understand why this evolving technology must be considered as law enforcement pursues its common goal to serve and protect the community. Police management also has a responsibility to officers for their safety. In the National Crime Victimization Study on Workplace Violence (1992-1996), it was found that law enforcement (excluding private security and corrections officers) was listed as second for the largest number of violent victimizations with approximately 230,000 officers "becoming victims of a non-fatal violent crime while they were working or on-duty" (Warchol, 1992-1996).

Civil and criminal issues will be reviewed at the state and federal levels as they relate to the use-of-force questions these specialized weapons generate. Closely related to these issues is the propagation of the use-of-force continuum and trying to determine at what level certain less-lethal weapons should be assigned. Lastly, the practicalities of distribution to all patrol personnel and the training required will be addressed in the recommendation section of this document.

## Discussion

The highly charged terms *use of force*, *deadly force*, and *less-lethal force* are introduced to police officers at the police academy, and they remain with them throughout their careers. Court decisions, departmental policies, and media exploitation have all contributed to placing an incredible burden on field officers, who at times must use force to protect themselves and the public.

Less-lethal force has been a part of law enforcement and corrections since the 1920s. Water hoses, tear gas, and mace are the predecessors of today's pepper spray and tasers. The current less-lethal issued weapon is oleoresin capsicum (OC) or as it is commonly referred to as pepper spray. OC is a naturally occurring inflammatory agent found in cayenne peppers. When used, the offender experiences almost

immediate swelling around the eyes causing them to close involuntarily; the mucus membranes swell; and the offender experiences restricted breathing due to the inflammation of the respiratory tract. The immediate effect is a reduction in aggressive behavior and resistance to arrest. A secondary benefit to pepper spray is that it dissipates quickly reducing the opportunity of contamination to the arresting or transporting officers. Pepper spray has other advantages over other types of less-lethal weapons. According to Casey (1988), “. . . the taser and the stun gun require accuracy in contact with the subject of police attention and, in the case of the stun gun, the officer has to be in physical contact with the suspect” (p. 7). With the use of pepper spray, the officer has the ability to stand back from physical contact with the offender. The use of batons, flashlights, beanbag munitions, punches, and kicks may cause moderate to serious injury and may subject the officer and his or her agency to lawsuits.

Pepper spray has been proven to be quite effective in many situations without causing long-lasting side effects to the person sprayed; however, like any weapon, pepper spray cannot be assumed to be risk free. Between August 1990 and December 1993, there were 30 incidents in which the death of a subject had occurred following the use of pepper spray. According to Granfield (1994), a thorough review of those cases conducted by the International Association of Chiefs of Police concluded that 22 of the 30 cases were not the result of the use of pepper spray. A study conducted in Concord, North Carolina, made several policy recommendations concerning the use of pepper spray, which included training, after-spray policy development for care of the person sprayed, and the implementation of a use-of-force continuum.

Use-of-force continuums were developed in the 1960s in an effort to train officers in using the legally acceptable amount of force against different levels of physical threats. Continuums originally started out as practical guidelines not only for training but for the development of policies on the use of force. In time, the use-of-force continuum terminology expanded to include use-of-force ladders and pyramids, and the phrases of escalation and de-escalation became inextricably linked to them. According to Williams (2002), an experienced police defense expert in civil cases and a force skill law enforcement trainer, “. . . force continuum often represents an unrealistic, almost wishful ideal” (pp. 14-19).

Scharf and Binder et al. (1983) have examined the use of less-than-lethal force to maintain control over threatening situations that can develop in police-citizen encounters. They have discussed the necessary steps that law enforcement personnel should take before an incident escalates to the use of deadly force; these steps include the proper use of less-lethal force.

Tom McEwen of the Institute for Law and Justice in Alexandria, Virginia, states that the proper use of lethal and less-than-lethal force starts with “. . . a clear and definitive policy on the use of force by departmental personnel. Without clear policies, officers may develop their own rules on using force, which may run counter to the law.” The Commission on Accreditation for Law Enforcement Agencies (CALEA) was formed in 1979 to develop professional standards for law enforcement agencies. The use-of-force topic area contains 13 standards on lethal and less-lethal force, and it is this format that the Lincolnshire Police Department currently follows. By following these guidelines with the current weapons issued, it has been the department’s experience that police personnel have used only the

force necessary to effectively bring an incident under control, while protecting the lives of the officer and others. As different less-lethal weapons and munitions are discussed and considered for use, it will be necessary to revisit the department's use-of-force policies and training program.

To offer patrol division personnel the flexibility to respond to potentially violent confrontations within the guidelines of the use-of-force continuum, there are a variety of less-lethal weapons and delivery systems available. The focus of this article will remain on reviewing less-lethal weapons for patrol division personnel and not address demonstration or riot control; the Lincolnshire Police Department is a member of the Northern Illinois Police Alarm System (NIPAS), which provides properly trained and equipped field force officers to deal with those types of incidents.

When officers respond to a call, they frequently have a minimal amount of information on the nature of the call and the offender. Officers must make quick threat assessments based on limited information. Is he or she armed? Have they been arrested before? If the offender is unknown to the officers, critical information regarding his or her intentions and capabilities is another variable thrown into the mix. The officer is often a few seconds behind the offender whose motives and goals remain to be seen. Officers who hesitate during use-of-force incidents often are injured or even killed. The ability for field officers to have a less-lethal weapon at their immediate disposal is the next logical step to reduce the potential threat to them and the public.

The positive attributes and limitations of the currently issued pepper spray have already been discussed. Current technology developed for law enforcement allows officers to maintain a greater distance from aggressive-combative offenders and arrest them without serious injury. These weapons also give officers several options from which to choose before resorting to lethal force. They include the following:

- Tasers
- Beanbag Rounds
- Sock Rounds
- PepperBalls
- Netguns

These weapons can be carried by the officer in his or her patrol vehicle or on his or her person. Other less-lethal products like thunder rounds and flash bangs (used for distraction purposes) are usually dispensed by special weapons and tactics (SWAT)-type units through special weapon systems not normally carried in patrol vehicles. Again these weapons and launching systems are available to NIPAS member agencies and as such will not be a part of this discussion.

Taser-type weapons are becoming standard issue with many law enforcement agencies in the United States and England. They offer police nearly a 100% takedown power at a range of 21 feet. They have been around for about 30 years, and the term is actually an acronym coined by its inventor, National Aeronautical Space Administration (NASA) engineer Jack Cover. According to an article written by Griffith (2002), it stands for Thomas A. Swift's Electric Rifle (p. 38).

Thomas Swift was a boy adventurer and inventor in a series of books written by Victor Appleton whose weapon of choice was a stun gun called the "Electric Rifle." The taser is an electrical stun gun that pulses 10-15 cycles per second of low-amperage power propelled by 50,000 volts through its target. Someone hit by a taser is supposed to lose control of his or her muscles and fall to the ground; it is described as an electro-muscular disruption (Griffith, 2002). They can be fired from a distance, which sends two barbed probes into the offenders clothing or skin, or directly to the offender's body if the two are in close proximity to one another.

Tasers have come under criticism from human rights groups such as Amnesty International and the American Civil Liberties Union (ACLU). These groups are calling for a moratorium on the use of tasers until independent research into its effects on humans can be studied further. These criticisms have usually arisen after the death of offenders after receiving a shock from a taser, implying that the taser triggered a cardiac arrest. These subjects have been under the influence of cocaine or PCP and "... there is no documented incident of a taser being identified as the primary cause of death in a police or civilian incident," according to less-lethal weapons expert Captain Sid Heal of the Los Angeles County Sheriff's Department.

Beanbag rounds, a kinetic munition designed to stun, are also popular among many law enforcement agencies. Critical elements of a successful kinetic munition are the maximum and minimum ranges, accuracy, reliability, consistency, and price. These firearm-launched kinetic impact weapons are designed to incapacitate like the strike of a baton. The beanbag, a cloth pouch of pellets, is fired from a standard shotgun instead of a lead slug or buckshot. The obvious danger of using the shotgun is the possibility of accidentally mixing a lead slug or regular buckshot with less-lethal munitions. To avoid this potentially catastrophic confusion, shotguns used for less-lethal force are identified by brightly colored stocks and foregrips or placed in the patrol vehicle trunk with the standard shotgun remaining in the passenger compartment. In recent years, there have been 12 deaths around the United States and Canada and dozens of injuries attributed to the use of beanbag rounds. These deaths have been attributed to poorly aimed shots, but Los Angeles County Sheriff's Department Captain Sid Heal explains, "... the shooter can never guarantee the beanbag will hit its mark and not go astray or miss all together." Another complaint is that the bags do not unfurl as they are supposed to, striking the offender while still curled up or with their edges. Dr. Dick de Brito of the Los Angeles County U.S.C. Medical Center has found that beanbags have caused broken bones, bruised internal organs, and penetration of the skin. In *Deorle v. Rutherford* (263 F. Ad 1106), the U.S. Court of Appeals for the Ninth Circuit in San Francisco, California, Court Justices were harsh in their characterization of the term *beanbag* saying it was, "a euphemism that grossly understates the dangerousness of the projectile, this is not some sort of hackey-sack: it's a projectile capable of inflicting serious injury or death, rather than some child's toy." In this case, the round removed the plaintiff's eye and implanted birdshot in his skull. A dissenting opinion written by Judge Barry Silverman captured the thoughts of many in law enforcement after the Courts decision was handed down. Judge Silverman disagreed with the Court's contention that the beanbag round is "reasonably likely to cause death or serious injury." He stated that the beanbag round is not "designed to kill or injure. To the contrary, it is designed to prevent serious injury."

The beanbag rounds in this case were the older, flat variety. A new circular bean bag is currently being tested while sock rounds are already in use. Sock rounds, which also use the shotgun as the launching platform, were designed to overcome the complaints regarding the accuracy of the older beanbag rounds. The sock round is a cloth ball that has a tail of fabric that trails behind providing greater accuracy. Even with the improved accuracy, this newer round has killed three people since 1999. There is also a new 12 gauge skirt stabilized sock round for which there has been early reports of a much improved accuracy.

PepperBall rounds first became nationally known at the 1999 World Trade Organization riots in Seattle when an officer held off a mob with a 180-round launcher while trapped atop the hood of an armored vehicle. The PepperBall is a plastic sphere that is similar in size and shape to paint balls. "The impact of one PepperBall stings, but the impact of multiple PepperBalls is attitude changing," according to Tactical Team Leader Scott Oldham of the Bloomington, Indiana, Police Department. In addition to the pain of the impact, the PepperBall disperses either OC or liquid. The PepperBall projectiles are safe even if fired from point blank range. They have been referred to as nonlethal instead of less lethal. Jaycore Tactical Systems has introduced a pistol launcher capable of shooting eight rounds and carried on the officer's utility belt in a holster. A possible negative aspect may be the public perception of a police officer carrying two guns on his or her utility belt. PepperBall Technologies has also developed a fin-stabilized, heavy payload, PepperBall projectile for the 12-gauge shotgun. The projectile breaks up upon impact and releases its irritant powder payload. Its accuracy has been measured up to 65 feet.

The Netgun fires a ten-foot diameter net up to 30 feet. According to Winooski, Vermont Police Chief Steve McQueen, ". . . the net gun might help catch a thief running away in an open area but wouldn't be helpful quelling a domestic fight in an apartment."

What does the future hold for less-lethal weapons? Munitions continue to be developed that have taken a variety of forms including single projectiles, multiple pellets, cylindrical batons, and hollow projectiles that contain chemical agents and marking dyes. They are being made of rubber, foam, wood, and plastic. Other rounds for crowd control exude a foul odor that agitators will not want to gather around the primary agitator. Microwave and directed energy weapons send a beam of intensified electromagnetic energy through the skin causing a pain similar to touching a hot light bulb, but it does not cause a burn or damage the skin. A new flash-bang round is being tested that will have radar-controlled burst capability. The benefit to law enforcement is that as technology continues to advance, larger weapons systems are usually reduced in size, weight, and price.

## Recommendations

Nonlethal force is a goal, not a promise. At the start of this article, the term *less-lethal* was found to be more appropriate for this particular research project. Police managers have an obligation to properly prepare, train, and equip officers for tasks they are likely to face. These tasks include responding to unconventional adversaries who are potentially dangerous but clearly outside the realm of armed and assaultive criminals. Police encounters are usually influenced by the other person's behavior,

which may be aggressive, abusive, antagonistic, and most likely combined with the use of alcohol and/or other drugs. When verbal commands fail to bring about compliance, use of force becomes necessary to effect an arrest.

Recommendations from this study are threefold. First, continue to carry pepper spray; it has proven to be an effective tool in maintaining control of hostile and/or resistant offenders. "The effectiveness of pepper spray in a police operation is directly proportional to the competency officer using it," according to Gary Klugiewicz and David Young (2003, p. 66). Training needs to be upgraded to include marksmanship through the use of inert sprays and goggles for eye protection. Training should simulate real life with the trainer (offender) lunging at the officer, moving laterally and covering eyes to avoid the spray. Pepper spray manufacturers should be closely monitored as they continue to develop improved deployment methods, more effective formulas, and more accurate spray patterns. Successful models should then be integrated into the inventory of the police department as old models are used and/or replaced. (Aerko's Punch III Micro Bubble OC leaves the canister as a stream and then foams once on target. It gives officers range and protection from cross-contamination.)

Additionally, we should budget for a taser pistol, which would be distributed to and carried on the duty belts of all patrol division personnel. Having this less-lethal weapon at immediate disposal will have a direct effect on the reduction of injuries to the officer and offender as well as the need for the use of or display of lethal force. The recent development of the X-26 Taser would best fill this need as it is reduced in size and weight from the original X-26 model.

Lastly, investigation should continue into the use of impact rounds like the sock or round bean bag, which is currently in the testing phase. Impact rounds should generally be used when a baton strike is appropriate but the situation is too dangerous to move into police baton range. The rounds should not be limited to deadly force situations as some agencies have done out of concern for past deaths. It is important to note that people have died from the use of pepper spray, and more people have been killed by the police baton than by impact rounds. Since 1989, the Courts have evaluated the constitutional limits of the use of force based on the Fourth Amendment to the U.S. Constitution. In *Graham v. Connor*, the Court's decision required an officer to use force based on the "reasonable officer standard" given the totality of the facts known to the officer at the time. The officer must use objectively reasonable force given the severity of the crime at issue, the immediate threat of the suspect to the officers and the public, and the active resistance of the suspect to arrest or to attempts to evade arrest (*Graham v. Connor*, 1989).

As the police department continues the police rifle transition from shotguns to AR-15s, consideration should be given to keeping the shotguns and adapting them for less-lethal usage by patrol division personnel. Along with this transition will be the need to create a classroom and scenario-based training program, as the impact projectile decision is often harder to make than the deadly force one.

The use of impact rounds will not necessarily keep a police agency out of court, but it will reduce the probability of facing wrongful death litigation. According to Major Steve Ijames, the lead instructor for the International Association of Chiefs of Police (IACP) impact projectiles, chemical munitions, and diversionary device



training programs, “. . . properly trained and equipped officers will continue to use deadly force when the situation demands it, and reduce the number of times they face such demands by using impact projectiles and preventing situations from escalating to a high level” (Ijames, 2002).

If more than one less-lethal weapon is issued, guidance must be provided on when to select one over another as well as to the reporting of their use. CALEA policy statements will therefore need to be revised to reflect any changes that are made.

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Commander Quillinan has received awards for "contributions to the national campaign to increase safety belt use and the occupant restraint training program" from the U.S. Department of Transportation National Highway Traffic Safety Administration, working with the youth of Lincolnshire from the Cambridge Forest Association, and "outstanding performance in enforcement of DUI laws of Illinois and continuing commitment to community safety" from the Illinois Governor's Training Board and Illinois Department of Transportation.



# Shock and Awe: Tasers for Campus Police

**Kenneth W. Sneed, BS, BA, Shift Commander, Southern Illinois University at Carbondale Department of Public Safety**

## Executive Summary

The use of force is an integral part of any law enforcement officer's job when it comes to making an arrest for criminal behavior. The U.S. Supreme Court has for some time recognized that the authority to make an arrest carries with it the right to use some degree of physical contact or threat of physical contact to effect it. It is further acknowledged that police officers are permitted to protect themselves, as well as others, from threats made to their safety. Generally, the amount of force used by an officer should be commensurate with the level of threat that prompted its use. A conflict usually arises when an officer perceives a threat then selects a level of force contrary to the actual threat. The Fourth Amendment does not mandate law enforcement officers to apply the least intrusive level of force, only a reasonable one.

The courts and the public have placed a lot of demands on today's law enforcement officers to find a less lethal solution for subduing violent, hostile, or uncooperative suspects and effecting their arrest without causing injury to them or innocent bystanders. The nation's police forces are in need of a methodology that has the capacity for being portrayed to and accepted by the public as both positive and socially acceptable. The most viable solution comes in the form of a device or weapon that causes an electromuscular disruption. Such a device, known as taser, has been in existence in one form or another for almost 20 years. This device has received praise from several departments as one of the best tools available to law enforcement today. It is considered ideal for handling a multitude of potentially volatile situations involving emotionally disturbed, intoxicated, agitated, or uncooperative individuals.

This article will consider the research data and associated information available to determine whether or not equipping a campus police department with tasers would be worth the time and money involved.

The research for this article was conducted by looking through police-related journals, magazines, and government statistics on police use of force; searching related websites for less lethal options; viewing training videos; and ultimately contacting the manufacturer of the taser device for information.

What was found during this research was that today's taser technology has advanced considerably in the past 20 years. It is a safe, reliable, and effective device. It has dramatically reduced the need for resorting to lethal force as well as injuries to suspects and arresting officers. It has proven itself over and over again in actual field use with an effective rate of about 94%.

I have concluded that the taser device, particularly the Advanced M26 model, is a safe and effective less lethal option that should be used by every police department, especially university police departments.

## Problem Analysis

Over the years and especially of late, concerns of the media and special interest groups about police methodology in handling violent, hostile, or uncooperative suspects have grown. These concerns are even spreading to college campuses across the country. One recent incident that took place in Cincinnati, Ohio, was captured by the officer's in-car video camera and shown on TV news broadcasts and in newspapers nationwide. The tape showed a large, unarmed, black male lunge at uniformed officers. The officers were then shown repeatedly striking the male with their batons in an attempt to gain control of him. The man subsequently died (Bryan, 2003).

Immediately, there was an outcry from the public and minority special interest groups alleging police brutality. The police officers were accused of being responsible for the brutal beating and subsequent killing of an unarmed person. It was later reported that the man had displayed some very odd behavior before police arrived. It was also determined he had been under the influence of controlled substances including PCP and cocaine. Drugs and obesity were found to be the cause of his death. This incident was reminiscent of the "Rodney King" case, which occurred in the early 1990s and left Los Angeles reeling in its aftermath.

It is not disputed that law enforcement officers are permitted to protect themselves and others from threats to their safety. What is often disputed is an officer's assessment of a threat and the level of force selected to counter it. As a general principle, the level of force used should be tailored to the nature of the threat that prompted its use (Hall, 1997). The Fourth Amendment does not require that officers choose the least intrusive level of force, only a reasonable one (Hall, 1997). An unarmed suspect does not present the same clear and significant threat to an officer's safety as an armed and noncompliant suspect. Criminal suspects, even unarmed ones, who ignore commands and aggressively threaten law enforcement officers are exhibiting dangerous tendencies (Hall, 1997). The Supreme Court ruled in *Tennessee v. Garner* (1985) that the use of deadly force to apprehend unarmed, nonviolent fleeing felons was an unreasonable seizure under the Fourth Amendment of the U.S. Constitution (Pearson, 2003). The use of force is an integral part of a law enforcement officer's job, particularly when arresting criminal suspects. Because arrests and investigative detentions are "seizures" of persons, they are governed by the Fourth Amendment to the U.S. Constitution (Hall, 1997).

"Our Fourth Amendment jurisprudence has long recognized that the right to make an arrest or investigative stop necessarily carries with it the right to use some degree of physical coercion or threat thereof to effect it" (*Graham v. Connor*, 1989).

Another example of an aggressive noncompliant subject can best be illustrated in the following case of *Tom v. Volda* (1992). In this case, an officer saw a young man fall from his bicycle and remain on the ground with his legs and arms in the air "like a bug." The officer did not suspect him of any crime but stopped to see if medical assistance was needed. Without responding to the officer's inquiries, the

young man got up and began rapidly walking away with the bicycle. When the officer asked him to “wait a minute,” the young man looked over his shoulder at the officer, threw down the bike, and ran away. Suspecting the bicycle was stolen, the officer pursued the suspect on foot for several blocks until the suspect slipped on ice and fell down. The officer’s efforts to handcuff the suspect led to a violent struggle in which the suspect repeatedly hit the officer’s head against the pavement. When the suspect broke free and continued to flee, the officer resumed pursuit. The officer overtook the suspect once more, initiating a second struggle in which the suspect again struck the officer repeatedly. The officer managed to pull away from the suspect and draw her sidearm even though her left arm had been disabled during the struggle. When the suspect ignored commands to stop and continued to act aggressively, the officer shot and killed him. A lawsuit against the officer and the police department alleged that the officer had used excessive force and had no legal justification to stop the suspect in the first place. The federal district court granted summary judgment in favor of the officer and the department.

The court concluded that from the moment the individual ignored the officer’s inquiries and began running away, the officer had a reasonable suspicion that the suspect was engaged in criminal activity. Moreover, the suspect’s continued flight from the officer “ripened [the officer’s] reasonable suspicion into probable cause . . .” and justified the suspect’s arrest for stealing the bicycle and resisting a law enforcement officer. Accordingly, the court considered that the officer was reasonable in trying to restrain the suspect with handcuffs and in using deadly force to protect herself against the suspect (Hall, 1997).

The aforementioned incidents are very real possibilities on today’s college campuses. For this very reason, campus law enforcement agencies need to find an alternative less lethal solution other than the traditional police responses (e.g., batons, pepper spray, or firearms) in the use of force. It is a known fact that the police use of force, and the weapons they deploy are the most visible and controversial aspects of policing. In recommending less lethal options, a campus law enforcement agency needs to convey repeatedly to the public that they should not be regarded as a substitute for deadly force. Less lethal weapons even when available may not be effective or appropriate. Educating the public about the weapons limitations is essential in making the public aware of what can be expected.

Law enforcement officers are responding to an everincreasing number of potentially deadly scenarios in facing unconventional armed adversaries. Examples include those who call for police assistance when attempting suicide and mentally unstable persons who directly threaten no one, yet ignore demands to put down their weapons (Pearson, 2003). Campus police departments are unique in the population they police. Legal, social, and international events dramatically changed the role of campus police. During the social upheavals of the 1960s and 1970s, the duties of campus agencies began to mirror those of traditional law enforcement. Many campuses developed their own police departments, and by the early 1970s, officers at state institutions typically had had full arrest powers granted by statute or through local deputization (Gelber, 1972).

The pressure to add new less lethal weapons and devices to law enforcement’s toolbox has become tremendous. The main requirements for any less lethal weapon are safety and effectiveness.

## Problem Solutions

Today, more than 2,500 law enforcement agencies are using tasers (Davis & Weiss, 2003). In our litigious society, the safety of any less lethal weapon is obviously of concern. The safety testing of the advanced taser has been extensive, quite possibly more extensive than any other less lethal technology (Nielson, 2000).

John Cover built the first taser prototype in 1970. The name taser was chosen as an acronym for "Thomas A. Swift's Electrical Rifle," after the Tom Swift fantasy stories. Two brothers, Rick and Tom Smith, formed a company known as taser international. It came about after a family friend had been shot with a handgun. They sought out Mr. Cover and asked him to design a taser weapon. Through the years of trial and error, we now have the advanced M26 taser as the most effective less lethal tool available.

The taser is a hand-held electrical control device, not to be confused with the stun gun. It is an electronic immobilization device, which fires darts that deliver an electrical charge to the target. It is an effective close range weapon that does not depend on damage or destruction of tissue or organs to be effective. It is designed to shock and immobilize an uncontrollable subject without causing injury or permanent harm (Kornblum & Reddy, 1991).

Some of the actual uses of the taser in the field have been during times when lethal force is not justified but officer safety needs to be considered. The taser has been used in keeping with the Los Angeles Police Department's policy of using the minimum amount of force necessary to control a violent suspect. It has been used in situations in which a firearm is not warranted but, it is unsafe for an officer to approach within contact range of the suspect, and previous attempts to control the suspect by more conventional methods, such as verbal commands and compliance holds, have failed (Kornblum & Reddy, 1991).

Medical research has shown that tasers are safe and effective. It is clear that when properly used as a method of restraining violent people, tasers are less likely than guns to cause injury or death to the target (and to the police officer) (Fish & Geddes, 2001).

The deployment of a taser can result in some injuries from a person striking an object as they fall from being shocked. It is recommended that tasers not be deployed on young children, pregnant women, or the elderly. Tasers have been blamed for several in-custody deaths, but to date, none have been validated as the cause of death. There is enough documentary evidence to show clearly, and beyond statistical doubt, that the taser is a safer alternative than traditional techniques, such as impact blows from a baton or impact munition (Smith, 2002).

In conclusion, it became apparent that the benefits of a campus police department deploying a taser during an incident involving aggressive, noncompliant, individuals far outweighed the small potential for injuries. The most difficult task of a university police department in trying to win acceptance for their officers to carry tasers will be to convince students, staff, and faculty that the devices work safely and effectively with no permanent side effects.

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# Facing the Storm: The Problem-Based Learning Revolution in Police Education

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Let's face it; internal and external problems are the norm in the business of policing, so let's think about both conflict and teaching differently. We don't know any communities that are problem-free, so at least we all *enjoy* the same "natural resources" of problems with which to work and train our new employees. When it comes to problem solving and conflict resolution, education is the key. If police educators, field trainers, and academy instructors want to make an impact on the process of education that takes place in their profession, we have a suggestion. They should do something about *how* we train and educate new employees in order to learn how to properly deal with conflict, disputes, and neighborhood problems.

Many police educators are reluctant to rethink the inevitable conflicts that arise every day in our jobs. That has got to change. We should analyze those conflict-ridden circumstances carefully and teach our new employees that we're destined to fight with one another, both inside the organization and on the street. We need to teach better methods of fighting and employing force. If that is not the focus of training, we have lost the battle already. The very basis of our teaching—*all* our teaching—must strive to teach others to face conflict in a positive and meaningful fashion. The metaphor that best describes this new educational reform is called "facing the storm."

Police educators need to turn in the opposite direction and run directly *towards* these problems. We suggest that trainers and leaders should seek out and explore issues that they have previously avoided. Have you got external community problems like drug and gang incidents? How about internal problems like shift disagreements or partner disputes in your department? Don't hide them from the rookies you are training. Instead, employ a teaching method that is based on using these real-life problems. Explore the learning opportunities they present for you, your trainee, your agency, and your community. The sooner we prepare new employees for both internal and external disputes, disagreements, and conflicts, the better they will be at solving them when inevitable problems do arise.

The other option is to run from them or, worse still, ignore them and let them overwhelm us, turning us into bitter and detached employees, ineffective problem solvers, and members of dysfunctional organizations. The issues police officers face today can be overwhelming. Is it any wonder that some police officers end up facing excessive use-of-force complaints, drug and alcohol problems, divorce, and worse?

Policing educators must reframe educational thinking about even the most basic of assumptions. What's worked before doesn't necessarily work now. How do we shift our focus to problem solving as a learning technique for all new employees?

The method we employ to put “facing the storm” into practice is called problem-based learning (PBL).

## **PBL: The Revolution in Police Education**

Since the early 1990s, police across North America conducted problem-oriented policing (POP) training for their officers; however, simply teaching the mechanics of a new approach did not inculcate the values of it into the daily practice of police officers. Most POP training became the task of special teams or individual specialists. The traditional methods of teaching did not emphasize the values of this new approach.

Traditional police training uses the concept of behavior modification, which is the emphasis on reinforcing a desired response from students by skills drills; positive reinforcement; and prompting during lectures, in-class exercises, and scenarios. Students memorize answers for tests and demonstrate predetermined responses to assigned tasks. Even police training that employs contemporary adult education still depends on orderly, preplanned learning that occurs in a linear fashion. First the class will be taught this; then they will be taught that. It is a form of learning that is centered on the instructor’s needs, not the student’s.

Basic academy instruction, field-training programs, inservice courses, and advanced training all fall back on this approach. It is how most trainers were taught. It is what they know best. Academy and field instructors rely on various types of a preplanned format for teaching. It seems to be a safe and convenient way to provide material to students. It should be noted that the adoption of the behavior modification method of police instruction, with its emphasis on legalism and militarism, has been only rarely examined for its appropriateness in police work. Do trainees actually use the rigid rules of behavior to arrest offenders? Is the memorization of legal statutes how new police officers actually solve crimes and neighborhood problems? Answering these questions, especially in an era of community policing and problem solving, has never been more important (Goldstein, 1990; Memory, 2001). In fact, few rigorous examinations of police training in this area have been done. Yet, many police trainers swear they are the best. Why?

The answer can be found in the fact that most police officers probably learn to do the job in spite of the traditional training system not because of it. As Langworthy and Travis (1999) describe “when the recruit first takes to the street and is assigned to an experienced officer as a teacher, . . . the rookie is often told to forget the academy and to learn the craft of policing by watching his or her experienced partner . . . the rookie sees how to ‘do’ policing” (p. 240). For example, problem-oriented policing methods are laid on top of traditional curriculum in academies, often within human relations, crime prevention, or community policing. When recruits hit the streets, they are told to “forget the academy,” including the problem-solving methods of police work. No wonder police trainers and leaders have had difficulty getting officers to think of problem solving as a central component of the job, rather than simply an add-on that gets in the way of “real” police work. There is clearly a myth regarding learning the skills of policing and what those skills should be—or more importantly, whether problem-solving should be first among those skills (Bayley & Bittner, 2001).

In 1990, this predicament led the U.S. Department of Justice, the Police Executive Research Forum, and the Reno Police Department to launch research into the state-of-the-art in education and new forms of field training. We were hired as developers of the new program. In interviews and extensive national surveys, they learned that most field trainers were unsatisfied with the traditional method of teaching in the Field Training Officer (FTO) model. Over-reliance on daily observation reports left little time for focusing on complex problems in police work. It became very clear early on in the research process that trainees were not adequately learning effective arrest, problem-solving, or safety methods of policing.

The research led us to develop and teach a PBL model of field training—the National Police Training Officer Program (PTO). They taught the PTO course to a half dozen police agencies and hundreds of field training officers. Officers were trained in Reno, Nevada; Lowell, Massachusetts; Savannah, Georgia; Charlotte, North Carolina; Colorado Springs, Colorado; and Richmond, California. The initial trainings in these pilot agencies led to tailoring of the model in each of the agencies. For the past 4 years, they in turn have taught hundreds of new recruits using the PBL methods inherent in the PTO model. As a result of this work, the Office of Community Oriented Policing Services (COPS) published the *PTO Manual* (2003) and the *PTO: An Overview and Introduction* (2003). Both are available on the COPS website at [www.cops.usdoj.gov](http://www.cops.usdoj.gov).

The PTO course employs problems such as social upheaval, injustices, and internal/external emotional turmoil as the motivation to teach problem-solving. In this way, trainees learn in a manner that honors their various learning styles, an approach consistent with Gardiner's multiple intelligence theory (Gardiner, 1999). It also trains them to self-discover the problem-solving practices they will need on the street. Rather than simply catering to our needs as instructors or the task requirements dictated by various rigid training curricula demands, the "big picture" learning needs of trainees are also part of the program.

## **Phase 1 – Focus on “Field Training”?**

As learners, many of our future attitudes, abilities, and accomplishments rest upon what we acquire and achieve in the first few years of our lives. The axiom “get them young and train them right” has significant application in police training. Experienced officers know that the first few months of the recruit's career are critical for introducing him or her to the essential practices and customs of the job.

The PTO field training phase provides an ideal opportunity to impact the future behavior of the trainee. The PTO model stems from needs of police recruits to learn COPPS as part of their duties. Over 400 mailed surveys were completed by agencies across the country for this project. The surveys discovered that over 70% of responding police departments use traditional models of training called “Field Training Officer” (FTO) programs. Traditional FTO training is increasingly ineffective at helping recruits learn how to apply problem-solving. In turn, recruits fail to practice community policing and problem-solving, or they engage in it incidentally and randomly rather than consistently and comprehensively (Hoover, Cleveland, Saville, 2000). This trend is worrisome at a time when police and community leaders herald COPPS reform as the next orthodoxy in policing.

## How Was PBL Adapted for Field Training?

PBL requires that the learner begin with a real-life problem. The subsequent learning and teaching that occurs does so in the context of solving that problem. The learners move through a series of inquiries involving the following:

- The generation of ideas
- Discussion of known facts and learning issues
- Coming to a decision on a plan of action or resolution to the problem

In essence, the police trainee in this program thinks, acts, and learns within the context of solving his or her assigned community problems. Each trainee must develop problem-solving skills such as breaking down the problem, understanding the issues, and managing his or her time in resolving problems effectively. These skills, once learned, will benefit the officer throughout his or her career and engender a more creative, thoughtful approach to policing a community.

The PBL method, formalized decades ago to train doctors in medical school, creates a small learning group for problem-solving and discovery (Barrows, 1994). In traditional education and training, students are taught unrelated, often isolated, and disparate facts and then asked to apply that information at some later date. The PBL method calls for learning within the structure of solving the given problem and using learning groups to achieve it (Barrows & Tamblyn, 1980). In the PTO model, the recruit will continue to learn by solving problems presented by his or her training officer, but the trainees must begin to reach out to appropriate community members as part of their learning group.

For example, in the PTO model, police recruits must solve a problem regarding gang activity and drug sales in a park near a high school. During the resolution of that problem, they learn, among other things, how best to apply drug law, search and seizure, constitutional rights, weapons offenses, interpersonal communication techniques, and other knowledge acquired while at the academy. They work with their training officers who provide support and guidance throughout the process.

In the meantime, the recruits learn to reach out to other members of the community. In this case, they will think of, among others, the local school officials, neighbors, park maintenance workers, code enforcement officers, local council officials, the young people in the area, and other police officers. All these people are constituents in the "learning group" they must consult to find and implement a solution. Recruits are expected to develop a time schedule to accomplish these tasks within their workload. Thus, in addressing real-life problems, recruits learn how they can develop their own policing style to apply their academy knowledge. This builds both competence and confidence.

The PTO model contains numerous forms of evaluation. In each of these evaluative sessions, the concepts of PBL apply. The recruit's input in the evaluative process includes self-evaluation and the opportunity to use negative experiences for learning without the fear of low scores on daily observation reports, which have been abandoned in favor of more comprehensive weekly coaching forms. The recruit is encouraged to write experiences in a daily journal, which is used for tracking learning experiences rather than evaluation. As in all PBL, at each stage of the

training, the student is encouraged to self-discover the material and learn how to apply it in a real-world setting under the supervision of an experienced coach.

### **Has It Worked?**

Informal evaluations have been conducted from the beginning of the project. Project developers throughout interviewed training officers. There are now hundreds of police recruits who have received training in the PTO methods. Preliminary feedback has been extremely positive.

For example, in Savannah, a PTO-trained recruit addressed a drug house with numerous associated crime problems by using the PTO method. He worked with local residents, building and zoning officials, and other police officers to arrest offenders and curtail activities around the premise. This location had been a crime hotspot for the previous 8 years. The recruit had been on the street by himself for only 3 weeks after finishing the PTO program.

Similar results have been found in all six original pilot PTO sites, including Reno where the project has been operating for the longest period of time. In that police department, training officers now commonly note that recruits are more likely to engage in successful neighborhood problem-solving initiatives at a much earlier stage than before (Hoover, Cleveland, & Saville, 2001). These sentiments are echoed at all six of the pilot sites.

### **Phase 2 – The PBL Revolution**

The final cluster conference of all PTO test sites was held in April, 2002. A nonprofit society was formed at this conference called the Police Society for Problem-Based Learning ([www.pspbl.com](http://www.pspbl.com)). History teaches that, especially in policing, reforms can have uneven and sporadic implementation. The formation of the society allows those introducing PBL the opportunity to gather, exchange ideas, and use the website clearinghouse to learn from mistakes. In effect, the society is its own problem-solving network.

Another finding of the PTO program was that teaching PBL to police is significantly different than other forms of police instruction. Traditional police instructors cannot expect to be successful with a PTO instruction manual without education in the PBL methodology. We noted this numerous times when traditional police trainers attempted to instruct PTOs. A system of PBL instructor development training was needed.

That led the COPS office to fund a PBL instructor development program in order to qualify police instructors in problem-based learning.

In 2003, Saville and Cleveland completed development of the program of instruction in PBL. The program began with an on-line Internet course employing recently developed synchronous software in November 2002. After the course, the members of the class completed their own self-directed field research projects in the communities where they reside. A few months later, their research results were brought to the first 2-week police PBL instructor development course held at the University of New Haven's California campus in Sacramento.

Agencies participating in the PBL program included the California POST system; Cabrillo College; and police agencies from the California Highway Patrol, Charlotte-Mecklenberg (NC), Colorado Springs (CO), Los Angeles (CA), Marin County Sheriff's Office (CA), Ottawa (Canada), Richmond (CA), Savannah (GA), San Diego Sheriff's Office (CA), Folsom (CA), Sacramento (CA), Santa Rosa (CA), and Redlands (CA).

The course was taught exclusively through the PBL approach. Early indications are that the State of California's Peace Officer Standards and Training (POST) is planning to implement the PBL program in four pilot academies to test it for possible state-wide implementation.

## **The PBL Curriculum**

Learning in PBL begins with what is defined as an "ill-structured problem." Learning does not occur in straight lines; it happens through trial and error. Learning happens because we need it to accomplish some real-world task. The adage, "necessity is the mother of invention," is an apt description of how some of our best learning experiences emerge. This is the approach of problem-based learning. Learning is remembered when students have had the opportunity to do hands-on practice. How often have you heard students ask, "How does this idea actually work?" or "I just cannot see how to apply this concept." That is why students in PBL engage their learning by solving an ill-structured, real-life problem. It gives them direct, hands-on practice. That is where learning happens.

The ill-structured problem is the means by which all learning takes place in PBL. All exercises, lectures, presentations, group discussions, readings, case studies, field projects, and so forth will always relate back to the problem.

Once they have read this problem, the students are divided into learning groups. The facilitators spend some time describing the problem-solving process in PBL. They then tell the students that the problem above is not theoretical. It is real and that is precisely what they have in store for themselves when they return to their workplace. They are told that they have two weeks to solve the problem. This is precisely what happened in the first problem-based learning course in Sacramento.

Students confronted with such all-encompassing, ill-structured problems can easily become confused or overwhelmed, yet that is precisely the primary method of the PBL approach. Learning how to bring some sense and order to confusion is precisely the point of PBL because that is when opportunities for high-level learning occur. That is why PBL instruction is so different than traditional police training. It is also why the outcomes of PBL instruction demand higher levels of comprehension and competency.

In short, PBL is student-centered. It is based in self-discovery and group learning. It is focused on real, ill-structured problems relevant to the student's life. The focus of the facilitator's efforts is on the student's process of learning and problem-solving, not on the content of the curriculum. The facilitator ensures that the former leads to latter, but this is entirely based on the needs of the student, not the teacher (Barrows, 1980).

Comments on written evaluations from police instructors attending this 80-hour PBL certification class included the following:

- “This is the direction law enforcement needs to go . . . This course should be required for all middle and upper management level police executives.”
- “We will make significant changes in our PTO program based on info from this course.”
- “This course is a must for anyone seeking to implement monumental change in an organization.”
- “Very difficult, yet highly rewarding course.”
- “Pushed the envelope . . . exceptional relevancy to training of peace officers.”
- “Although it facilitated learning about PBL techniques, it drove home the power and importance of group process in problem-solving and creating a product.”
- “Very helpful for building a quality PTO course.”

This first pool of certified PBL police instructors are also involved in developing and training their own agencies in the PTO program. Each of them are now fully certified in PBL instructional methods and can competently teach the PTO course employing PBL. They are also developing other police courses using PBL, some of which include explosives disposal, police leadership, and neighborhood problem-solving. This represents a significant departure from traditional training models, and it is the beginning of an entirely new form of police training.

The final product of the PBL program will be a PBL instructor’s manual published through the COPS office later this year. It will have wider release to the entire police community and will be available online at the COPS website.

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# Fighting Methamphetamine

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## Executive Summary

Methamphetamine has changed policing, and more than anything else, attitudes of the police towards the courts have changed. Officers felt that the state court judges were indifferent to not only the magnitude of the meth problem but also towards the dangers that surrounded the police in dealing with it. Officers knew that meth was not “just another drug”; it was a menace that if left unchecked would become out of control. Police soon began to appreciate the judges in the federal court system. In a federal court, judges and prosecutors recognized meth for the hazard that it was and justly sentenced those involved to prison, not probation. Officers were being approached by those whom they had arrested, via federal indictments, for meth involvement and thanked the officers for their arrests and for saving their lives.

This article discusses meth itself, how law enforcement battled it at the beginning, and how communities working together with law enforcement should battle it in the future.

Research for this article included discussions with a DEA agent, excerpts from actual meth users on how the drug affected them and their lives, and information from books and periodicals. A majority of the article is based upon my own ideas and personal experience.

The conclusion of this article is derived from the personal accounts and ideas that have been formed from those accounts. A newspaper article in the April 8, 2004 issue of the *Olney Daily Mail* commented about an announcement that the governor of Oklahoma made in Oklahoma City. The governor’s announcement concerned his support of new legislation to strengthen the fight against methamphetamine: “Governor Brad Henry signed legislation to ban some sales of several popular cold remedies used to make methamphetamines, barring the drugs from stores other than pharmacies.” Governor Henry went on to say that the bill “will reduce the risk of law enforcement officers who endanger their lives every time they stop someone for speeding or walk into a house to dismantle a lab.” On its face, one might believe that police would support such legislation, and had this law been passed years ago, law enforcement probably would. Governor Henry’s new legislation, however, is an affront to law enforcement. The article goes on to say that the families of three state troopers killed during meth investigations surrounded Governor Henry when this announcement was made. Why does it take the lives of police officers or innocent civilians before legislators and/or judges decide that enough is enough and react to the situation? Methamphetamine requires pro-action, not reaction, if it is going to be stopped.

Two years ago, I was involved in an investigation of a meth cook gone wrong resulting in an explosion and a fire. The cook received second and third degree burns from his waist up, which included burns to his esophagus. He suffered miserably for 3 days before he died.

Methamphetamine has been called the “zero tolerance drug.” When meth gets into people’s lives, it requires all of their attention, *all of it*. Their health, job, children, family, past, present, and future become obsolete. The only thing that matters to them is feeding their meth addiction; therefore, we as a civilized and law-abiding society, must deal with the meth problem in the same zero tolerance way. This approach requires everyone’s involvement. We cannot accept any other alternative, or we will lose the battle.

## **Problem Analysis**

In 1985, I was appointed as a police officer for the City of Olney, Illinois. During this time, marijuana was the drug of choice for users and producers in that jurisdiction. The department detectives conducted surveillances, controlled buys, stings, and arrests. For the most part, it was a low-key function; the buys were for around one ounce of marijuana, sometimes more but not very often.

During the latter part of the 1980s through the middle part of the 1990s, the Illinois State Police Drug Task Force was in charge of controlling illegal drug operations. The Task Force worked with each county/city supporting it by supplying funding and/or manpower. It was during this time that this new form of d-methamphetamine began to root itself in our community. The Task Force was successful at combating both cannabis and meth until agencies began dropping out for one reason or another. Thus, the Task Force subsequently became a defunct operation, at least for Richland County, Illinois. This meant that it was up to each department detective and street patrol officer to combat illegal drugs.

The city government combined with the home county government to form its own drug task force known as Investigation Special Operations Unit (ISO). The investigators from both police organizations teamed up to make up the core of the unit. They had great support from the officers and deputies of each department. The ISO soon discovered that there was a major meth problem to deal with in the city and county jurisdiction. They learned that not only did they have to manage the use and sale of meth but also face the danger of the labs that produced it. The ISO were soon overwhelmed by both. Before I go any further, allow me to explain what meth is and how it is made.

Meth is a central nervous system stimulant, and a user can become addicted to the drug after only one use. Users often have the misconception that methamphetamine is not really a drug. Depending on how the user ingests meth, he or she will experience an intense rush within seconds or minutes of taking the drug, and the effects of the drug can last anywhere from 4 to 24 hours. Users’ first experience with meth is likened to that of an extreme climatic experience—a high which, though they will try, they will never be able to attain again. The stimulant effect of meth produces a positive feeling but leaves a person feeling depressed. The user physically demands more of the drug so that he or she returns to normal. This series of highs and lows leads to loss of control over the drug and addiction.

A methamphetamine user’s survival system is short-circuited by the drug by synthetically stimulating the pleasure areas, or reward center, in the brain. This leads to an enlarged self-reliance on meth and not as much reliance on life’s ordinary gifts. This happens on a physical level first; then it influences the user’s

mental state. The result of this is greater dependence and interest in meth and less interest in other aspects of life. "In one study, laboratory animals pressed levers to release methamphetamine into their blood stream rather than eat, mate, or satisfy other natural drives. The animals died of starvation while giving themselves methamphetamines even though food was available" (Koch Crime Institute, 2004, Question 26).

Someone who is psychologically addicted to meth will not die from lack of the drug but will encounter suicidal tendencies and severe depression during withdrawal. As a result of this, treating meth abusers is problematic because abusers simply take more meth to put an end to the severe depression (Potter, 1996, p. 5).

Methamphetamine is usually less expensive than cocaine, and because it metabolizes in the body more slowly, it is much longer lasting. The effects of methamphetamine may last as much as 10 times longer than the high of a cocaine user. Cocaine binges seldom go on for more than 72 hours, while methamphetamine binges may last up to 7 days. A heavy cocaine user paranoia almost always leaves once the binge ends. For methamphetamine users, however, acute mood and thought disorders may continue. Frequently, they can persist for days, or even weeks. In the same way, the methamphetamine crash is more extended, and the depression brought on by the drug that users may encounter upon awakening can be more rigorous than any experienced by cocaine users (Koch Crime Institute, 2004).

Not only is meth addictive, but the addiction to the drug for the user is difficult to treat. Tom McNamara of the Illinois State Police indicates that the successful rehabilitation rate for cocaine users is between 35% and 40%; the rehabilitation success rate of a meth user is 7%. Several treatment providers describe methamphetamine abusers as the hardest to treat of all drug users. The likelihood of relapse is high because of the psychiatric, social, and biological components to its dependence.

In "A Meth Diary, Denise's Nightmare" (2000), a meth user named Denise talks about a time when she is stoned and she feels like there are roaches crawling under her skin, so she scratches herself. She continues scratching until she opens up her skin leaving open sores that ooze out a yellowish body fluid. I recently learned of another issue that police and social workers have to be wary of when dealing with those who use meth. A social service team was visiting a family, which consisted of a married couple and their infant child. The man and woman, both meth users, had infected boils on them. A *boil* is defined in the dictionary as "a painful, suppurating, inflammatory sore forming a central core, caused by microbic infection." The child also had the boils on his skin. It was learned that their boils were infected with staph, a contagious infection, which is very difficult to treat. The child had received the staph infection from the parents through touch.

Meth is easy to manufacture, and most of the materials needed to produce meth can be obtained at local retail stores. Each meth producer will teach 10 more users how to manufacture meth. You can easily find a recipe with full instructions on the Internet. The main precursor is ephedrine/pseudoephedrine (cold pills). Other precursors include coffee filters, lithium batteries, camp fuel, Heet, drain cleaner (acid), salt, and anhydrous ammonia. Basically, the cook is attempting to chemically change a molecule with all of these additives to make meth. The cook is also using

acids and bases to neutralize the batch, so that it doesn't kill the user, at least not right away.

Meth labs can be compacted to fit inside a small cooler and have been found in vehicles, motel rooms, and even state parks.

Each pound of methamphetamine generated in a clandestine lab can result in as much as five pounds of toxic waste, which clandestine lab operators routinely dump into our nation's streams, rivers, and sewage systems to cover up the evidence of their illegal operations. The toxic waste generated by these labs does not go away. President Franklin D. Roosevelt said that the soil is our greatest resource and that we should protect it, as we cannot replace it. The average clean-up cost per clandestine lab is estimated to be from \$3,500 to \$5,000.

McNamara stated that the materials needed to produce methamphetamine cost about \$164, but the profit from that would be about \$1200. General Barry McCafferty (retired), under the Clinton Administration, said that methamphetamine is the most dangerous drug this nation has ever seen. Meth produces a severe risk to both the ones who use and those who don't because non-users can be exposed to what the labs leave behind for many years to come.

The ISO Unit worked hard and became trained to recognize and investigate methamphetamine labs and the dangers that the labs posed to both the police and their families. Many police officers and deputies became exposed to the chemicals found in labs and soon realized that local courts did not seem to appreciate the dangers of meth to the community or the police that were battling this impending epidemic. Few prison sentences were handed down, and when the drug cooks that were placed on probation by the courts violated said probations, the courts simply put them on probation again.

In an attempt to address the growing problem, ISO Unit had anyone that purchased psuedoephedrine (Sudafed) or like products, to sign for them. This was effective for a while and gave law enforcement some pieces to the puzzle of who was involved in purchasing products to manufacture meth; however, when one store said that they would no longer continue requiring signatures, due to potential lawsuits, others soon followed.

Some agencies still depend on State Police Drug Task Forces to combat the meth problem. The ISO subsequently turned to the federal government for assistance through both the Federal Bureau of Investigations (FBI) and the U.S. Attorney's office. The federal results in combating meth have been outstanding. Every individual that has been indicted in connection with a meth lab or the conspiracy to manufacture meth has resulted in prison sentences from 5 to 33 years.

One other part in a community that has been a large boon to law enforcement has been the farm service agencies where anhydrous ammonia, a dangerous fertilizer chemical, is stored and sold to local farmers. This chemical is an additive used to produce methamphetamine, and police have frequently encountered anhydrous ammonia stored in various unsafe containers at meth labs. It only takes a phone call, and employees from these agencies are there in minutes to safely handle and dispose of the potentially life-threatening chemical.

The ISO has been dealing with meth in Richland County since 1997, and I learned by hands-on methods what worked and what did not. Through the years, I began to understand the urgent need to educate the public more directly about meth and try to reach those already on meth and address their need for rehabilitation.

## **Problem Solution**

What does a police agency do when meth invades its community to combat it and try to eradicate it? We will look at several aspects that are involved in doing this. One thing that must be stressed about meth is that it is neither a community problem, nor a police problem. Rather, meth is a shared problem for both the community and the police, and only together can it be defeated.

A police agency operates more productively according to policies and regulations so that everyone knows what is expected of them and so that all personnel are doing things with a purpose and with safety. It is unfortunate, but my agency still does not have an effective policy on methamphetamine, specifically the clandestine labs that produce it. Another danger posed by methamphetamine labs is the potential for contamination when the chemicals found in these labs are brought back and stored in evidence rooms at police agencies. These stored chemicals can potentially contaminate the evidence in the room and anyone entering that room; they also potentially endanger the entire department personnel due to the volatile substances being stored there. The cost to have these chemicals safely and properly removed from evidence rooms could be approximately \$3,400; therefore, policies dealing with proper investigation and collection of evidence in methamphetamine labs must be implemented and enforced.

Education and continuing education is very important in the fight against meth. Police officers must be educated continually because those that are involved with meth will make changes in both the production and distribution process to foil police efforts. In addition, the inherent dangers involved with methamphetamine production demand continual training so that the officer does not become lax.

The public must be educated about meth awareness. Parents need to recognize the signs of meth use, as well as the dangers of meth labs. Children should be taught in both schools and other community child development programs that certain containers could be dangerous and to stay away. These containers would be coolers and/or propane tanks, both of which drug manufacturers use to store anhydrous ammonia and often hide in the woods or fields where children like to play. Both parents and children also need to be taught that a container with a tube sticking out of it could be dangerous. These containers, commonly known as "generators," often hold salt and acid, which together produce deadly gases.

This is where the ripple effect and/or log chain theory begins. When a droplet of rain hits the water, it expands and spreads making a rippling effect. Drug prevention begins in the home with the family. If meth finds its way in, the ripple effect has begun and must be stopped before it goes any further and infects others in the family. If you live in a neighborhood and meth activity is occurring in a residence on your block, then you and your family are experiencing the first drop of the ripple effect. The people in the drug house want two things: (1) to do their drugs, and (2) to be left alone by both you and the police. To prevent the ripple effect from invading your

residence, you must act both as a single unit and as a neighborhood. Remember, the solution to the meth problem involves both the community and the police, so give them what they don't want: attention. Alert the police about your suspicions that there is a drug house in your neighborhood. Write down vehicle descriptions and license plate numbers of vehicles coming and going, and share this information with the police. If there are loud parties or other loud noise complaints, notify the police. If trash or old cars start to pile up, notify the police. Meth causes paranoia, so the last thing that the drug user or producer wants is the police knocking at their door and snooping around on their property. This ripple effect, in reverse through prevention of meth, continues throughout the city into each home, neighborhood, the city into the county and includes your state as well.

At schools, businesses, and libraries, set up a viewing wall of meth awareness. Educate the news media, and meet with them regularly on meth awareness. Try to have the police chief and/or the officers have regular news releases on what is being done to combat meth and ways that the public can help. The news media needs to regularly report on the court dispositions of those who have been charged with production, distribution, and use of methamphetamine.

Continue the education by requesting that stores that handle ephedrine or pseudoephedrine products and other items used in manufacturing meth implement procedures for reporting suspicious purchases. Police will also need to teach store clerks about meth awareness. Clerks who sell these items, especially ephedrine/pseudoephedrine products, also need to know what their responsibilities are. States like Missouri have passed laws restricting the sale of no more than two boxes of ephedrine/pseudoephedrine products. Illinois does not have any laws restricting the amount of ephedrine/pseudoephedrine that can be sold, but the federal government does. If someone is purchasing one box of Sudafed tablets (which contains pseudoephedrine), then there is not much to be alarmed about. If this person is buying one to two boxes of Sudafed, along with coffee filters, camp fuel, lithium batteries, etc., then the clerk should recognize that this is a potential precursor shopping list for meth manufacture. The clerk is responsible for this sale of items and should not make the sale and then contact local law enforcement. The clerk could face federal charges if the sale is allowed and the pseudoephedrine is later found at a meth lab site and is traced back to the clerk. According to Drug Enforcement Agent Kerry Hamilton, a person convicted of this federal statute could receive up to 20 years in prison.

Rental property owners must also be included in the loop of meth awareness and clandestine labs through education. Property owners need to know that they will be responsible for the proper cleanup of their property if a clandestine lab is discovered there. Landlords need to learn to screen prospective renters with criminal history checks and reference checks with other landlords. New tenants need to understand that no drugs will be tolerated and that any suspicious activity of drug involvement by them will result in a phone call to the police and possible eviction.

Trash pickup employees also need to receive education on meth and clandestine lab awareness. Often, clandestine lab operators will dispose of their used containers (e.g., acids, camp fuel, used coffee filters, generators) in their own trash and set it out for regular pick up. Police can gain evidence, which will assist them in getting a search warrant, by sorting through a suspect's trash material. Police also need to be

cognizant of the fact that employees are sometimes involved with meth themselves and are picking up the trash of used clandestine lab containers as a favor in exchange for meth use later on.

Since meth manufacturers don't want to be caught with the goods on their own property, they will seek out potential lab sites in abandoned or run down buildings; therefore, building inspectors need to be educated on clandestine labs and meth awareness as well. Request that the city council support the building inspector with tough ordinances and a budget that will allow them to have such buildings removed.

Use of motels by meth cooks is just another reason that the average citizen must get involved with the police in combating meth. Meth cooks will rent a room at a motel where they will cook their meth. The meth cook is no less cautious about fires or leaving deadly chemical residue behind just because he or she is staying at a nice motel. Fires and explosions have occurred at motels from a meth cook gone bad. Imagine you and your unsuspecting family on vacation in the room next door to a meth cooker who just happens to lite up a cigarette at the wrong time. Or maybe the room you just rented has been the site of a successful cook, now contaminated by the chemical vapors and residue that your family will breathe in while they sleep.

Police also need to be trained on methamphetamine rehabilitation and how the drug grips a person with an iron fist. People on meth don't need condemnation from the police but understanding. After all, if there were no one to buy the drug, there would be no need to manufacture it. Phone numbers of rehabilitation centers, as well as pamphlets, need to be made available at police agencies.

Enforcement of methamphetamine laws passed fall on the police and the judicial system. The vast difference between marijuana, cocaine, and heroin is the clandestine labs that cooks use to produce meth. When a police officer arrests someone on cannabis, cocaine, or heroin, the danger involved usually lies with the subject being arrested and/or possibly being stuck by a hypodermic syringe. Meth is totally different, both to the officer and to the citizen. The reason for this is because of the clandestine labs, which involve the dangerous chemicals, deadly fumes, and fire hazards that are present while the meth is being produced. Police officers have to deal with the meth user, the manufacturer, the contaminants in the lab, and the cleanup process of the lab itself.

Meth cooks typically do not care where they dump their lab remnants—in the woods, fields, parks, streams, and rivers to pollute unsuspecting citizens and their families.

State's attorneys and judges have to be tough on methamphetamine pushers and producers. They should be sent to prison on their first offense. Meth users should be placed on strict probation and sent to rehabilitation. Any violation of that probation places them in the county jail. A second meth conviction for users sends them to jail, and a third such conviction should land users in prison. A strong clear message must be sent both to those that do drugs as well as to those who may consider doing them that their involvement with methamphetamine will not be tolerated.



Rental property owners and store clerks that violate anti-meth laws are more difficult to reckon with where the law is concerned because, for the most part, they are just ordinary citizens trying to make a living; however, the ripple effect cannot be allowed to continue. So those rental property owners and/or store clerks that violate the law must answer for it in court. I have been involved in investigations in which store clerks have received kickbacks from drug manufacturers for selling them cases upon cases of pseudoephedrine products for meth production. If a charge of conspiracy to manufacture can be proven against the clerk or the rental property owner, then he or she deserves nothing less than the manufacturer, prison. Otherwise, a first charge would require supervision with no conviction, but a second would require probation with a conviction.

Paranoia is something that occurs with the meth user, pusher, and cooker, and the police must use it to their advantage. People who are involved with meth already believe that the police are watching them with every step they make, everywhere they go, so don't disappoint them. When a store clerk calls in someone who they suspect is purchasing items used to produce methamphetamine, then that complaint must be taken seriously. The officer should speak directly to the clerk making the complaint. Information on what was purchased, store receipts, and descriptors on all subjects and vehicles involved need to be obtained. When license numbers on the suspect vehicles are obtained, then the registered owners need to be contacted and interviewed about who was driving their vehicle. When suspects are named in these precursor purchases, they need to be interviewed as well.

At farm service companies where anhydrous ammonia is stored and sold to local farmers, a "No Trespassing" sign needs to be posted on the main entrance. Police must contact the property owners around the farm service companies and ask them to post signs on their property as well. Police can then set up surveillance on the properties and make arrests on subjects whose intent would be to steal anhydrous ammonia from the farm supply company. These suspects would have to trespass on the surrounding properties to get to the anhydrous tanks, thus affording the police another opportunity to arrest them. This misdemeanor arrest approach is extremely important. You do not want to allow the offender the opportunity to attempt to make the theft of the anhydrous ammonia, even though it would be a higher charge. To do this puts the person stealing the gas at risk, as well as the community should something go wrong and the gas is allowed to vent into the atmosphere. Besides, if the offender makes good on the theft of the ammonia, what prevents him or her from throwing it onto the officer during the arrest to escape? This arrest may also lead to a felony for whatever meth that the trespasser is carrying. The misdemeanor arrest may violate felony probation. The arrest may very well turn the subject into an informer, which may lead to a search warrant for other locations.

On suspected drug houses, police should make regular patrols looking for any violation that would allow an officer to initiate a contact with the suspected violator. Another part of this would be foot patrols, as well as bicycle patrols. Walking or riding past and in the area of the suspected drug house gives the subject something else to be wary of. Those drug-involved persons will worry when making their meth if the officer, who might be in the area, can smell the chemicals that are being transmitted through the air from the cook. Not only that, but many times, the drug manufacturer will become lazy and leave his anhydrous ammonia, which has a very strong odor, in such a condition that an officer walking by can easily detect it.

Although the violator will probably accuse the police of harassment, your approach as a police officer should not be such an intent. When police make the suspected drug house a part of the special patrol assignment, then any violation of a passerby requires enforcement. Not only will the members of the suspected drug house notice the police, but also those that may be driving to that house to buy drugs will notice them and may well deter them from going there. Another positive effect of such enforcement is that the community will notice that you are enforcing the laws and hopefully will support your efforts.

In closing, I would just like to follow up on one other point that I alluded to about the log chain theory. You must consider each one of the points that I have spoken about as though they were links in a chain, or a log chain. These links would consist of the courts, the police, retailers, rental property owners, garbage men, farm supply companies, motel operators, building inspectors, and the very important citizen. At the end of this chain is a very cruel and uncaring animal known as meth. If the links are strong, the chain will hold this beast at bay. If not, the meth is released and allowed to devour anyone in its destructive path. So give meth exactly what it understands, zero tolerance.

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# The Adult Corrections System and Its Implementation in Illinois

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The adult correctional system in America today is under tremendous strain, both physically and philosophically. With over two million prisoners in the various incarceration plans around the country, our nation leads the world in the number of prisoners held by any one nation. The sheer number of prisoners has over-exceeded the national systems' physical capability to hold the current population, yet with stricter sentencing guidelines and more convictions occurring annually, an even greater strain on the system can be expected. This comes at a time when many researchers are examining the effectiveness of the current penal system's philosophy on rehabilitation and punishment, with mixed thoughts from many different groups. This article examines what the current penal system consists of in Illinois. It traces how that system came to its current configuration and analyzes the system's success in the dual mission of rehabilitating and readmitting reformed felons to society and protecting that society from those most dangerous and non-rehabilitated felons they are charged with "keeping off the streets." It begins by looking at how we arrived at our current penal system.

## History

For better or worse, the adult correctional system in the United States has come to be synonymous with the American prison system, yet the prison system in America dates back to only a little over 200 years. Before that time, punishment for lawbreakers was almost always corporal in nature, and jails were only places to keep prisoners until they appeared before a judge to be given their real punishment. These punishments were usually torturous in nature, with public flogging being a most common practice. Mutilation and branding were also standard practices for lawbreakers in the Americas. The use of public stocks to both humiliate the prisoner and allow the public to seek revenge was also a well-accepted procedure.

In Europe in the 1700s, there was a fundamental shift from the belief that criminal behavior begins within the individual to one of the imposition of outside forces upon the individual. Because of this, torture was no longer deemed effective in curing criminal behavior. Instead, leaders in the field, such as Cesare Beccaria in Italy and John Howard in England proposed the creation of mechanisms to develop and encourage reformation. Hence, the first prison was built in Simsbury, Connecticut, in 1773, and 18 days after its opening, the first escape in America also occurred. The current prison system in the United States has evolved through a number of philosophical and physical systems tried throughout United States history. The major ones affecting our adult correctional system are outlined here.

## The Penitentiary Era (1790-1825)

This system, modeled after one attempted by William Penn over 100 years earlier, was fueled by the Quaker beliefs that the best and most effective way to reform individuals was to place them in solitary confinement where they could consider

their defiant acts and repent their sins. It is from this belief that we derived the term *Penitentiary* for the place to find and give penitence. This system incorporated punishment and rehabilitation, which is still the underlying basis for U.S. correctional systems today. In this system, inmates were given only an individual cell with a Bible, toilet, and table. They were not allowed to talk to or interact with other inmates or anyone from the outside, and they were expected to reform through reading the Bible and individual labor. Three institutions were built under this philosophy, but by the 1830s, they became so overcrowded that changes had to occur in the system.

### **The Auburn York System (1825-1876)**

This system differed from the Quakers' model in that it allowed inmates to congregate. This helped relieve pressure from solitary confinement and overcrowding. Inmates worked and ate together but were not allowed to look at each other or talk. If they broke these rules, they were physically punished or given hard labor. This system was less expensive and was used by many of the states along the eastern seaboard. Unfortunately, neither system produced results that showed deterrence or rehabilitation, leading to a new set of changes.

### **The Reformatory Movement (1876-1890)**

Under this system, the main principle adopted was that inmates were in control of their own destiny. Through the development of the National Prison Association and their Declaration of Principles, indeterminate sentences were seen as the most effective way to help the individual inmate reform. It was believed that if their release were placed in the hands of the inmates, they would be motivated to reform. When the first institutions were put under this system, they used the philosophy that education and vocational training were mandatory for reformation. They also instituted a "mark" system adopted by reformers in Europe that allowed individuals to move closer to release for good behavior or further from release for bad. Unfortunately, once again, the results of this program were no more effective than the others, although research suggests that failure was more a product of implementation than philosophy. Instead of emphasizing education, most institutions relied on punishment; however, these philosophies still influence much of our correctional programs today. The idea of indeterminate sentencing and parole, as well as educational and vocational training programs, are still found in today's prisons and can be traced back to this era.

### **The Industrial Prison Era (1890-1935)**

With the perceived failure of the reformation prison system, institutions were faced with rising costs, increasing populations, and security problems. To help fight these problems, states began to use prisons for industrial purposes. Inmates were used to manufacture a variety of goods that were used by the states and sold to the public. Although these prison industries proved profitable, and often supported the institutions, they were in direct competition with private businesses and were seen as a threat to organized labor. As a result of the opposition by business and labor to these prison industries, Congress passed legislation in 1935 prohibiting the interstate transportation and sale of products made in prisons, bringing an end to this practice.

## **The Punitive Era (1935-1945)**

With the end of prison industry use, prisons once again became viewed as places for providing custody of convicted felons in a safe manner, and punitiveness once again became a driving philosophy in incarceration. During this era, it was espoused that the only way inmates could repay their debt to society was through long periods of confinement. Inmates were therefore forced to sit around doing nothing while locked up. Many of the inmates under this program were documented as going insane.

## **The Treatment Era (1945-1967)**

After World War II, penal institutions began adopting a rehabilitation model of corrections, drawing upon different methods of psychological treatment to “cure” the individual’s underlying problems. Group therapy, behavior modifications, and counseling programs were all incorporated into treating the “client.” This required correctional agencies to hire those with the training to diagnose and classify the inmates according to their behavioral problems and develop a treatment for them. This model of rehabilitation has been termed the Medical Model. Unfortunately, once again, this model did not create positive results. Once again, failure was thought to be a result of implementation rather than philosophy. Although rehabilitation was the goal of this program, most institutions were not funded for the expensive innovative programs required, and most of the people working the facilities were trained in providing custody, not treatment, so the treatment was never fully implemented and could never reach its full potential.

## **Community Model (1967-1980)**

During the 1960s, the prevalent thinking on the adult correctional system became that it should focus on rehabilitation and reintegrating wrongdoers back into society. Knowing that prisons had failed at this task in the past, there was a conscious effort to divert individuals away from incarceration and into community-based programs. The underlying thought behind this move was that treatment of the individual came from the community. At this time, programs, including the work-release program, halfway houses, and others, were implemented; such programs allowed inmates an opportunity to interact in the community while the criminal justice system monitored their behavior. Although social scientists were pleased with these developments, a continued high rate of recidivism and changing social sentiment concerning a need for heightened protection from crime put these programs in jeopardy. Then, a 1975 Justice Department study of 240 rehabilitative programs was conducted showing that vocational training, guidance counseling, and psychotherapy all had no appreciable effect on the rate of recidivism (Courreges, 1) and helped put an end to what some called the “case-work prison system.”

## **Crime Control Model (1980 to present)**

Since the 1980s, the penal system has attempted to integrate the best ideas from all previous eras of prison development, yet this evolution has occurred in an era of a “get tough on crime and criminals” sentiment throughout the country. With most Americans more concerned with security and protection from violent crime than reintegrating felons back into society, more emphasis has been placed on “warehousing” or simply incarcerating criminals for their entire sentence. Under

this philosophy, determinate sentencing has been implemented, the discretion of judges reduced, and treatment programs cut back. We have even witnessed the return of the chain gang in some southern states. This get-tough movement has led to a number of problems in the system, the biggest being overcrowding. In fact, last year for the first time, the prison population (counting local, state, and federal systems) held over 2 million inmates. At this time, the United States has the highest incarceration rate of any country in the world.

Currently within the United States, there are four general categories of prison systems: (1) federal prisons, (2) state correctional facilities, (3) local jails, and (4) privately contracted facilities.

## **Federal Prisons**

The federal prison system was created in 1930 and has jurisdiction over those individuals who violate federal law. Within the system, there are five security levels and a total of 82 facilities across the nation. The population of these prisons is primarily made up of white-collar criminals and drug offenders. Because of the increase in federal crimes, many of these prisons are overcrowded, and more are scheduled to be opened in the next few years (Emma's Domain).

## **State Prison Systems**

Within the state prison systems, there are a number of different types of prisons available for men. Along with the traditional prison, there are prison farms, reformatories, forestry camps, transition facilities, and others. Within the traditional prison system, there are three primary categories used for security among state prisons: (1) minimum, (2) medium, and (3) maximum. Minimum security prisons house about one-fourth of all state prison inmates and place a greater emphasis on education and work-related training programs. Characteristically, the prisoners in these institutions are the least violent offenders and have the most freedom. Many of these institutions appear more like dormitories than prisons.

Medium security prisons hold the largest number of state inmates (49%) and are a more securely designed set of institutions, with guard towers, walls, wire fences, and other security systems. Inmates at these prisons are given less freedom and fewer programs than at the minimum sites.

Maximum security prisons currently hold about 26% of the overall state prison population, but the percentage is growing with the increase in stricter sentences and the shift towards incarceration for violent offenders rather than rehabilitation. These prisons are designed to prevent escape.

## **Jails**

Jails are short-term institutions for those awaiting trial or for those with short-term sentences. Currently, there are about 3,400 jails, ranging in size from the national average of a capacity of 50 to the Los Angeles County jail, which holds 8,000 inmates. Across the United States, jails hold about 600,000 inmates on any given day, with about half of them awaiting trial. The Cook County jail system is made up of seven facilities that can house up to 8,841 inmates (including a 768 capacity women's

facility and a 584 capacity treatment facility). As with most prisons, many jails are severely overcrowded, particularly as they have become the overflow valve for state prisons. Many jails currently house felons that should be in prison but are kept in jail for lack of space. Because of the high turnover rate in jails, most do not offer many educational or job-training programs.

## **Private Prisons**

Eighteen states have experimented with contracting out prison services to private corporations in an attempt to address overcrowding and cut costs. This practice began in the mid-1980s, and there are approximately 95 privately run prisons in the United States today, holding about 55,000 inmates. One of the primary advantages of these arrangements is that private prisons can be run at a lower cost than publicly operated institutions. There are a number of pressing issues with this practice. For instance, who is accountable for prisoner or civilian safety? Is it ethical to relegate the states' function of social control to private businesses operating for profit? These questions will need to be answered before there is a widespread acceptance of these institutions around the country.

## **Prison Trends in Illinois**

The Illinois penal system is run by the Illinois Department of Corrections. According to that department's statistical presentation of 2001 at the end of that calendar year, the adult prison population was 44,348 inmates, or 28.3% over its rated capacity, in a system rated to hold 34,575. The state had another 28,797 offenders on mandatory supervised release, or parole. This prison population had increased by 40% from that of 1992. Much of the prison population growth was attributed to longer prison terms from stricter laws, many of which were increased penalties for drug and weapon violations.

The department currently operates 26 adult correctional centers, 8 adult transition centers, 8 juvenile facilities, and 26 parole offices. The state also operates 11 Community Correctional Centers (CCCs) to provide gradual transition for selected inmates into community life through a system of structured supervised programs in a community setting.

Recently, the state has experienced a decrease in the prison population attributed to increased admissions of inmates sentenced from courts among lower class offenses. These inmates typically have shorter sentences, resulting in faster movement through the system. Overall, the state has experienced a prolonged decline in the crime rate of violent offenders, over the next several years, when the effects of long-term sentencing requirements enacted during the late 1990s take hold, the prison population is expected to rise.

The Illinois Department of Corrections statistics on its inmate population for 2002 are given in the table on the next page.



# Illinois Department of Corrections

## Department

<b>Budget</b> .....	\$1,206,607,900 (FY03 GRF Appropriation)
<b>Per Capita Cost (FY02)</b>	
Adult Institutions .....	\$21,654
Juvenile Institutions .....	\$59,231

<b>Total GRF Staff (12/31/02)</b> .....	13,660
General Office .....	257
School District .....	331
Adult Field Services .....	649
Adult Institutions .....	11,044
Juvenile Division .....	1,379
<b>Adult Security Staff</b> .....	8,470
<b>Juvenile Custodial Staff</b> .....	988

## Characteristics: Adult

<b>Male</b> .....	94%
<b>Female</b> .....	6%
<b>Race</b>	
White .....	27%
Black .....	62%
Hispanic .....	11%

**Average Age** ..... 33 years

## Committing County

Cook .....	58%
Collar .....	11%
Other .....	32%

## Security Level

Level 1 - Maximum .....	19%
Level 2 - Secure Medium .....	16%
Level 3 - High Medium .....	24%
Level 4 - Medium .....	16%
Level 5 - High Minimum .....	8%
Level 6 - Minimum .....	10%
Level 7 - Low Minimum .....	5%
Level 8 - Transition .....	3%

**Death Row** ..... 160

**Lifers** ..... 1,135

## Offense Class

Murder .....	17%
Class X .....	26%
Class 1 .....	19%
Class 2 .....	21%
Class 3 .....	8%
Class 4 .....	9%

## Offense Type

Person .....	43%
Property .....	22%
Drug .....	26%
Sex .....	9%
Other .....	1%

**Average Sentence (Admissions) (FY02)** .... 4.2 years

**Average Prison Stay (Exits) (FY02) Total** .... 1.3 years

  Court Exits (FY02) .....
 1.4 years |

New Sentence Violator Exits (FY02) .....
 1.6 years |

Technical Violator Exits (FY02) .....
 0.4 years |

## Facilities

<b>Correctional Centers</b> .....	26
<b>Work Camps</b> .....	6
<b>Boot Camps</b> .....	2
<b>Adult Transition Centers</b> .....	8
<b>Juvenile Institutions</b> .....	8
<b>Parole Offices</b> .....	25

## Population

<b>Adult Population</b> .....	42,693
<b>Parole</b>	
<b>Adult</b> .....	34,244
<b>Juvenile</b> .....	1,860
<b>Juvenile Institutions</b> .....	1,524

## Characteristics: Juvenile

<b>Male</b> .....	92%
<b>Female</b> .....	8%

## Race

White .....	34%
Black .....	56%
Hispanic .....	10%

**Average Age** ..... 16.5 years

## Committing County

Cook .....	32%
Collar .....	11%
Other .....	57%

## Type

Felons .....	5%
Delinquents .....	87%
Court Evaluations .....	7%
Murder .....	1%

## Offense Class

Murder .....	1%
Class X .....	10%
Class 1 .....	20%
Class 2 .....	33%
Class 3 .....	15%
Class 4 .....	14%
Class A .....	6%

## Offense Type

Person .....	34%
Property .....	43%
Drug .....	11%
Sex .....	10%
Other .....	2%

## Average Sentence Felons

**(Admissions) (FY02)** ..... 6.5 years

## Average Length of Stay (Exits) (FY02)

Felons .....	13.6 months
Delinquents .....	9.6 months
Court Evaluations .....	2.1 months
First Degree Murder .....	38.3 months
Extended Jurisdiction .....	18.5 months
Habitual Offenders .....	49.4 months
Violent Offenders .....	32.3 months

*Data: December 31, 2002, except where noted*

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As part of their responsibility to take charge of the inmates of the Illinois penal system, the Department of Corrections carries out the following functions according to their Human Services Plan of 1998-2000.

**Residential Care** – Providing basic services to provide humane living conditions. This includes the provision of food, clothing, housing, laundry, commissary, trust funds; maintenance of the physical plants; and administrative services.

**Security Services** – Providing internal custody and supervision along with perimeter security to prevent inmates from injuring others or committing new crimes.

**Clinical Services** – Providing counseling and casework service to address situational and social problems of the inmates. These services can include individual and group counseling and community-based programs.

**Medical Services** – Providing comprehensive medical care, including diagnosis and treatment. Services include physical exams, emergency medical treatment, and complete diagnosis and treatment of medical and dental problems.

**Mental Health Services** – Providing mental health care for the estimated 10% of the inmates in need. Services are provided the population who are severely mentally ill, emotionally disturbed, or mildly developmentally disabled.

**Educational and Vocational Services** – The Department of Corrections has been designated as Illinois School District 428 and is empowered to give a full range of educational services, to include primary, secondary, vocational adult, special, and advanced educational programs. Career counseling is a component of the adult educational program. Currently over 11,000 inmates are students in the various programs.

**Special Education** – Provided for adults with disabilities between 17 and 21 years old. This includes special education and related services specifically designed and developed to meet the unique needs of the disabled inmate. The majority of these inmates are identified as behavioral/emotional disordered or learning disabled.

**Chapter 1** – Educational service is provided for inmates who have not received a high school diploma or GED and demonstrate educational needs.

**Substance Abuse Services** – Some form of substance abuse programming is offered at each facility, along with substance abuse education. A number of institutions provide treatment in a Therapeutic Community setting.

**Sex Offender Treatment** – Approximately 10% of inmates have sex-related holding offenses. The department serves over 200 inmates in two in-house residential sex offender programs and another 150 in treatment groups at other facilities.

**Work Programs** – There are nine work camps in which inmates perform public service work in local communities. These programs house over 1,800 inmates. These inmates are employed or in school or perform public service work.

**Correctional Industries** – An average of about 1,500 inmates participate in the correctional industries program producing goods and services for sale to local and state government agencies. The primary mission of this program is to provide productive work-related endeavors for adult inmates. Annually, the inmates in this program produce clothing, furniture, personal care items, and \$28 million worth of food all used in the Department of Corrections.

**Leisure Services** – A wide range of extracurricular activities are provided for the adult inmate populations with special emphasis on intramural activities to involve large numbers of inmates and to relieve tension and anxiety in a constructive manner.

**Religious Services** – As many as 25 religious services are offered at prison chapels each week. Throughout the year, a variety of religious programs are offered. Many institutions have Christian volunteers participating on a regular basis to help with services and programs.

## **Intermediate Sanctions**

Besides the sentence to incarceration, a number of intermediate sanctions can be used as tools of the criminal justice system to impose punishment on wrongdoers and attempt to rehabilitate them. A number of the more popular alternatives are listed here:

**Home Confinement and Electronic Monitoring** – This alternative has gained some favor in the criminal justice system in the last few years. Currently, there are nearly 70,000 individuals under this kind of sentence across the country. Under this program, the convicted offender is required to serve all or part of his or her sentence in his or her own residence. The benefit of electronic monitoring is that it can be tailored to the individual's situation. This way, if he or she is in school, or at work, the conditions of monitoring can allow him or her to continue these endeavors, as long as he or she is home at the end of authorized activity. The main problems encountered with this program are the reliability of the equipment used to monitor and the high failure rate of enrollees. Researchers suggest that when this type of monitoring is imposed, it tends to cut down on face-to-face contact, relying on the willpower of the offender to succeed.

**Boot Camps** – Resembling military boot camps, many feel that these are a quick, inexpensive, and humanitarian way to deal with delinquents. Public agencies tend to view them as rehabilitation through training and punishment. These camps are usually designed for the first-time, non-violent offenders who spend a relatively short period (90-120 days) in the program. The common core among all boot camp programs is strict discipline, physical training, manual labor, drill, ceremony, and educational and counseling programs. Research has shown that these programs do increase the participants' levels of self esteem and pro-social attitudes. Those that I have met who went through this program are in fact more respectful and more capable and have a better capability to make it on their own. Unfortunately, the overall research states that there is no significant difference in the recidivism rate between boot camp graduates and those who were given other sentences. One of the problems suggested from this research is that upon completion of the program, graduates do not enter an environment supportive of the values they have been

taught in the camp, the way military boot camp graduates do. Instead, they are placed “back on the block” with little or no follow up or support. Some research suggests that the programs that stress less physical exercise and more counseling are more successful.

## Probation

Probation is the most frequently imposed sentence in Illinois. Under probation, an offender is conditionally released into the community under supervision. The most common conditions imposed as a part of probation concern drug and alcohol testing, curfews, and an imposition on those with whom an offender may associate. If an individual violates any of the conditions of his or her release, he or she can be resentenced to prison.

Within Illinois’ 22 judicial circuits, there are 70 single- or multi-county probation departments supervising over 100,000 offenders serving sentences of probation in the community. To carry out their public safety responsibilities to the courts and the communities they serve, the mission of each probation department is to . . .

- Provide complete and accurate pre-sentencing information to the court to facilitate judicial decisionmaking.
- Provide differential, community-based supervision and intervention to offenders based upon their risk of re-offending and their need for services.
- Reduce recidivism among offenders sentenced to probation.
- Identify and develop new programs that qualitatively and cost-effectively enhance community supervision strategies.
- Provide for the care, safety, and security of juvenile offenders confined to detention facilities pending court action.
- Ensure accountability to the victim and the community through restitution and public services programs.

A year 2000 study of the probation outcomes released by the Illinois Criminal Justice Information Authority analyzed the results of 3,364 adult cases discharged in November of 2000 to give an a statistical picture of the state’s probation system. Major findings were that during supervision, more than 30% of adult probationers were arrested for another crime (most non-violent in nature); almost 40% had at least one technical violation of their probation terms; and probation was revoked for almost 15%. Analysis shows that age, gang affiliation, illegal substance abuse, and prior convictions were the most influential factors associated with new arrests. The good news was that more than 60% of probationers completed or were still enrolled in court-ordered treatment programs at the point of discharge from probation, that the majority of probationers met the financial conditions of their probation (e.g., fines, fees, court costs, etc.), and that the majority of those ordered to perform community service satisfied this condition. Also, importantly, many adult probationers improved their life situations while on probation (an example is that one-third of probationers who were unemployed when sentenced had obtained and kept a job during their probation.). The final analysis of the study was the affirmation of probation in Illinois as an effective and efficient form of supervision and rehabilitation for large numbers of adult offenders.

## Parole

The final phase of the adult correctional system in Illinois is parole. Most of the offenders released from Illinois prisons today are sent back into the community before their full sentence is completed under terms of strict supervision. Illinois is said to have been one of the first states to offer parole to prisoners in the 1930s. The American Correctional Association feels that parole serves two major functions:

1. Providing assistance and services to parolees to allow their assimilation back into the community so that non-criminal behavior is encouraged and made possible (Help Function)
2. Providing supervision of parolees to reduce the likelihood of criminal acts while the parolee is serving the remainder of his [or her] sentence in the community (Surveillance Function)

In this state, as in all states, the number of parolees is increasing dramatically, often because parole is seen as a mechanism for relieving overcrowding in prisons. In 2001, 30,068 prisoners were released in the state of Illinois (almost three times the 11,715 released in 1983). Some 83% of those were released with provisions they report to a parole officer. There were 21 probation officers, with 27 parole supervisors, and 340 agents supervising 20,199 parolees in the year 2000 (up from 18,882 in 1990). The vast majority (97%) of Illinois prisoners released in 2001 returned to Illinois communities; of those, 51% returned to Chicago (15,488 released prisoners). Just 6 of Chicago's 77 communities—Austin, Humboldt Park, North Lawndale, Englewood, West Englewood, and East Garfield Park—accounted for 34% of prisoners returning to Chicago in 2001. These neighborhoods tend to be more economically and socially disadvantaged than the average Chicago community (UISC paper "A Portrait of Prisoner Reentry in Illinois, 2000).

The current debate surrounding parole programs around the country is the question of their effectiveness, or success. The Bureau of Justice Statistics defines a "successful" parolee as one who completes a term of community supervision without returning to prison, returning to jail, or absconding from supervision (Travis, 2002). In 1999, the success rate for the state of Illinois parolees was 63%, compared to a national average of 42%. Nationally, the number of prisoners returning to prison has increased seven-fold from 1977 to 2000, with parole violators that year making up 35% of the prison population. Here in Illinois, while we have an over five-fold increase over the same time frame, our parole violators make up only approximately 27% of the prison population (Travis, 2002). Whereas no one can argue that our parole system in Illinois is in any way perfect (there are some major flaws in the way the law prohibits parolees from holding one of 57 jobs in the state requiring licensing, such as barbering or beauty salon work, yet these are some of the job training programs offered to our inmates supposedly to prepare them for occupations in the community), there is a documented, systematic effort in most major communities to assist parolees to become assimilated as productive, useful, and law-abiding members of society. One of those in the Chicago area is Treatment Alternatives for Safe Communities (TASC). TASC is a not-for-profit organization that provides behavioral health recovery management services for individuals with substance abuse and mental health disorders. Through a specialized system of clinical case management, TASC initiates and motivates positive behavior change and long-term recovery for individuals in Illinois' criminal justice, corrections, juvenile justice,

child welfare, and public aid systems (UIJC). The state parole authority has also undertaken initiatives to work with those who are exhibiting signs of recidivism before they are sent back to prison. In January 2002, the agency implemented a pilot project designated Parole Adjustment Center. The project, based out of the Dixmoor Adult Transition Center, was designed as an alternative to the parole revocation process. The state parole authority calls this a “half-way back” approach and states that it provides the offender with an opportunity to correct noncompliant behavior without returning to a prison facility to face the possibility of the revocation of parole. For the agency, it provided an additional offender management tool. Parolees were transported to the center for an initial intake process. Those offenders admitted into the program were provided assistance, instruction, and treatment referrals as appropriate. Adjusters stayed no longer than 7 days. After this time, it was decided whether the offender was ready to return to community-based supervision or be returned as an alleged parole violator. Throughout the duration of the project, 314 parole adjusters completed the program.

## **Personal Experience with the System**

Although the legal system in Illinois has a long history of attempting to rehabilitate offenders and protect the citizens from continued law violations, it often seems that the hardest part about getting our correctional strategies to work is getting offenders into the system.

I have worked on many types of criminal cases, and most of the time, the outcomes were the same, meaning the legal system does not always see through the eyes of the victim before coming to a final verdict. The legal system at times has just as many flaws as it does criminal cases. For all our system’s flaws, however, we see that in general, it is working and working well here in Illinois. We are successful in both “getting the bad guys off the streets and putting them away” and in finding ways to successfully rehabilitate and reenter many reformed criminals into our communities. We still have some way to go to find the proper balance of help and punishment to make our system work completely, but it is giving us many cases of success and a better success story than is found in most parts of the country. With the continued effort of both a dedicated and focused law enforcement team and an educated, active public, we can make it work even better with each new successful experiment.

## **Village Contact and Coordination with the State Adult Correctional System**

Locally, our department is in constant communication with the county and state correctional officers, probation officers, and parole officers dealing with offenders in our community. We continuously receive updates on those of our community that are incarcerated and on those on parole, probation, or other correctional programs. We have established a local database of all these people and continually check data against the states’ databases. As the chief of police for the village, I am continually in contact with both the county, state, and adjoining jurisdictions to monitor the progress of those released from the states’ correctional programs. We take great care in exercising the notification requirements of victims in the community about the change of status of any convicted felon who is relevant to their situation. On a compassionate side, we also work with a number of local social service agencies,

such as TASC and others, to help in finding those ready for re-assimilation into our community a good fit in housing, jobs, and services, while still being mindful of the security concerns of their neighbors.

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**Daniel E. Babich** has been employed by the Lyons Police Department for 17 years. During this time, he has held positions as a line officer, first-line supervisor commander, and his current position of chief executive. Chief Babich served 3 years in the United States Marine Corps; received 60 credits from Morton College in Cicero, Illinois; and is currently enrolled in Lewis University in Joliet, Illinois. Chief Babich received a certificate from Southern Police Institute's Command School in Streamwood, Illinois, in 1998, received a certificate from the FBI National Academy in 2002, and received a certificate from Surviving and Thriving as a Law Enforcement Executive in the 21st Century in Springfield, Illinois, in 2002.

Chief Babich is a member of West Suburban Chief's Association, Fifth District Police Chief's Association, Northern Illinois Police Emergency Service Team Board, Western Suburban Community Policing Association, South Suburban Major Crime Task Force, Major Case Assistance Team Board and Gangs and Guns and Drugs Committee. Chief Babich has also written numerous grants for his department.





# The Death Penalty: One Chief's Thoughts

**Charles A. Gruber, Chief of Police, Village of South Barrington, Illinois,  
Police Department**

In the course of our lives as law enforcement executives, we may be too busy with managing our agency, planning its future operations, and counting our successes by numbers of cases closed or community problems solved to take the time to reflect on the ultimate consequences that result from criminal justice system initiatives. It may be that our faith in the criminal justice system is so great because we who work within it believe that our system—even with its occasional mishaps—is inherently just and fair. It may be that we just never took cognizance and really considered it, but the fact is that there are citizens who are being convicted and sentenced to death for crimes that they did not commit. There are fatal flaws within the criminal justice system, which have, incredibly, sentenced to death totally innocent citizens!

In May of 2000, I was asked by a Washington, DC, think tank to join a diverse group of individuals brought together for the specific purpose of reviewing the death penalty in this country. The Constitution Project, a bi-partisan group of Americans housed at Georgetown University's Public Policy Institute, was asked to explore modern constitutional dilemmas and seek fair and equitable solutions to the problem of wrongful executions. I was asked to join the Death Penalty Initiative, and in accepting, I joined dozens of esteemed and respected individuals from differing professions and political persuasions from around our great country. I was the only police chief on the committee, and I must confess that I was curious about the invitation to join such a group—a group that included not only constitutional law scholars but also a former state attorney general, a former governor, a victim-rights advocate, a journalist, an archbishop, a former FBI director, and many other distinguished Americans. How would a police chief fit in with this group on such a controversial issue? After all, my job, my entire professional life has been to acquire credible evidence and apprehend criminals. I leave it to others in the criminal justice system to decide and administer appropriate punishment. It has never been a question of being “for” or “against” capital punishment; rather, capital punishment has never been the primary focus of our work. I realize now how that indifference is dangerous to the citizens we serve, our investigative approach, and the future perception of professional policing.

Early in my law enforcement career, the death penalty issue was generally taboo for police chiefs. For those of us who dared even debate, it risked being categorized as “anti-law enforcement” or worse, “soft on crime.” If we are to be stereotyped, we thought, let it be that we are “tough on crime.” Most of us can remember the phrase “I’ll be the first to pull the switch.” Thankfully, among most police professionals, that is no longer the case. Community policing has enabled us to open our eyes, expand our minds, and conduct deliberate dialogue on an array of policing and social issues; capital punishment is one of them. I am not opposed to the death penalty, and my involvement with this committee did not alter my resolve to that end. I believe that capital punishment is a legitimate form of criminal justice punishment in this country. Nevertheless, my concern lies in the unshakable evidence presented that

serious flaws and inequities exist in the way capital punishment is meted out within our criminal justice system. My experience with this committee has taught me that being “tough on crime” means we must have the courage, tenacity, and patience to make sure—not *almost sure*—that the death penalty is given only to those who truly deserve it and only after exhaustive procedural, legal, and judicial entitlements including a competent lawyer, fair trial, and a judicial review of the conviction and sentence. Justice, after all, is in the details. Clear, incontrovertible evidence exists; innocent people are being wrongly convicted and sentenced to death. No police chief I have ever known wants to wrongly convict anyone, let alone execute an innocent person. I do not believe that we can tolerate a system that does, and no police professional would allow innocents to die.

The purpose of the Death Penalty Initiative is to strengthen the reliability and integrity of the system under which capital punishment is administered. The committee itself is diverse. Members disagree about the morality and practicality of the death penalty issue, but all agree that procedural safeguards and other assurances of fundamental fairness in the administration of capital punishment have been compromised and discovered to be flawed. It is not the purpose of this essay to explore the moral implications of the death penalty. Whether we are for or against capital punishment as a matter of practice or principle is not the issue. What is at issue is the fundamental question of justice, and justice, to be just, must be meted out fairly. To accomplish this, there are fundamental and systemic changes that need to be made to the death penalty system as administered in America today. Law enforcement is part of the problem and therefore, ultimately, must be part of the solution. We cannot claim to seek justice if we do not address this candidly. The facts are that since the death penalty was reinstated 25 years ago, 99 people have been exonerated and released from death sentences. In the state of Illinois, 12 people have been executed since 1977, yet during that same time, 13 people on death row awaiting execution were exonerated, several after serving years for crimes they did not commit.

The committee’s work was intriguing and informative. We worked hard to review the issue of execution in general and the inequities apparent in giving the death penalty sentence. What have I learned from my experience in the Death Penalty Initiative? I learned enough about the way capital punishment is administered to be concerned about it, and I learned enough to be willing to work for just solutions. I am motivated to write to you to seek your help as police professionals, to risk alienation from some of my peers, to better embrace the principles of justice and fairness that we police professionals universally share.

In June 2001, we released our findings in a report entitled *Mandatory Justice: Eighteen Reforms to the Death Penalty*. In it are common sense recommendations for significant improvements in the administration of capital punishment, both in the way cases are prosecuted and the way sentencing is meted out. The recommendations include the following:

### **Competent, Effective Counsel**

- Any state that imposes capital punishment should create an independent authority to appoint, train, and supervise lawyers to represent defendants charged with a capital crime. Minimum standards should also be set.

- Capital defense lawyers should be adequately compensated, and provision needs to be made for investigation and expert testimony. In case after case, defense attorneys are grossly underpaid for their services, and often, inadequate resources are provided to enable the defense to respond to and refute prosecution expert witnesses.
- Standards for effective assistance of counsel should be improved. Keeping qualified counsel at the trial stage is critical to assuring that the death penalty sentence is fair. This would keep the attention on the trial stage in the capital process and streamline the post-trial appellate and post-conviction procedures. This is also a more effective means to eliminate the need for retrial. The committee recommends that there be at least two attorneys assigned to each capital case and that at least one have prior experience on capital cases.

### **Prohibit Execution in Certain Cases**

- Mentally retarded persons should not be eligible for the death penalty. The death penalty was intended to punish the “worst” criminals—those who are fully responsible for their actions. Mentally retarded persons because of their mental impairments, cannot be considered fully responsible.
- Likewise, persons under the age of 18 at the time of the crime should not be eligible for the death penalty.
- Persons who did not kill, intend to kill, or intend that a killing take place should not be eligible for the death penalty.

### **Sentencing Options and Jury Instruction**

- Life without parole should be a sentencing option in all death penalty cases. Amazingly, it is not currently always an option.
- Juries in capital sentencing should be informed about all sentencing options including the true length of a sentence of life without parole (“truth in sentencing”). Research suggests that juries that are not informed about “life” sentences significantly underestimate the time defendants will remain in prison and thus impose death sentences instead of the life sentences that they might have imposed had they been better informed.

### **Protection Against Racial Disparity**

- Race must never be a factor in deciding who is sentenced to death. Whether it is a factor is an ongoing debate. The committee recognizes this and recommends that special attention be given to the collection of data that examines the relationship of race to capital punishment. In my view, the correlation between race and the death penalty is not readily apparent; however, race and racial discrimination do play a role in the criminal justice process and should be studied. This is particularly important for law enforcement because so much racial discrimination is done unconsciously. The race of a motorist stopped on the highway is not noted unless an arrest is made. Likewise, the race of a defendant chosen for capital punishment

is not known unless that information is recorded. Gathering and studying racial data will better educate us about whether we are discriminating.

## **Ensuring Proportionality in Sentencing**

- We currently have state criminal justice systems that vary vastly from one another. The committee recommends that each state adopt procedures to ensure that the death penalty is administered in an even-handed fashion so as to provide a check on broad prosecutorial discretion and to lessen the likelihood of discrimination playing a role in capital sentencing.

## **Protection Against Wrongful Conviction and Sentence**

- DNA evidence can be powerful in proving the guilt or innocence of a defendant. DNA evidence should be preserved in all pending capital cases and be allowed, in appropriate cases, after conviction should it help in establishing that an execution would be unjust.
- Procedural barriers should be removed, and exculpatory evidence that could not have been found earlier with diligence by the defense and that would likely change the outcome of the trial or sentence must be allowed to be introduced.

## **Roles of Judge and Jury**

- If a jury imposes a life sentence, the judge should not be able to override the jury's recommendation in favor of a death sentence. In the rare case in which the jury recommends a death sentence and the court believes there is doubt in the guilt of the defendant, the judge should be allowed to impose a life sentence.
- The trial judge should be allowed to instruct the jury that if any juror has lingering doubt about the defendant's guilt, it may be considered "mitigating" and weigh against a death sentence.
- Jurors sometimes misunderstand their obligation and role in sentencing. The judge should instruct the jury that each juror has an individual responsibility to decide whether a death sentence is appropriate.

## **Roles of Prosecutors**

- Special discovery provisions should be established to govern death penalty cases. Prosecutors must obtain all relevant information from law enforcement and other investigating or analyzing agencies. Full disclosure should be made to defense attorneys and withheld only when clearly identified as in protection of witnesses or the public safety.
- Prosecutors need to develop guidelines that would limit reliance on questionable evidence—stranger identifications, suspect witnesses, and other evidence of questionable validity. The death penalty should not be a sentencing option in cases in which the evidence is questionable.

- Prosecutors should wait a reasonable and specified amount of time before announcing whether they will seek the death penalty. Murder is horrendous and in many communities, a crime of notoriety. The decision to seek the death penalty may appear to be the correct response in the immediate aftermath but may not be after careful consideration and comparison to other cases in which the death penalty was or was not chosen.

These recommendations were made in an effort to make our criminal justice system fair and to hold those entrusted with the responsibility of giving out capital punishment accountable for their actions. One of the primary goals of the committee and the work that it has completed is to create additional safeguards against the “endemic tendency of decision makers in the criminal justice system to ‘pass the buck’” (Sloan, 2001, p. x). We address our recommendations to those who occupy major roles in the capital punishment system—defense attorneys, prosecutors, the jury, the trial judge, reviewing courts—emphasizing to each, individually, that it is their responsibility to ensure, to the best of their ability, that justice is carried out. We cannot exempt ourselves and our profession from this awesome responsibility. Police chiefs and all officers of the law must accept that same responsibility to ensure, to the best of our abilities, that justice is carried out in spite of the many adversities we face in performing the duties of our job. It is no secret that the criminal justice system, beginning with law enforcement, engages participants in a system that is sometimes misdirected despite the hard work of those who strive to do their best. Sometimes evidence is questionable, witnesses are questionable, and cases are questionable. When we convict the innocent in pursuit of expediency instead of careful evaluation, we do justice a fatal disservice, and when we do so, we fail to bring justice to those who are actually guilty. Senator Patrick Leahy said it best: “Not only does our criminal justice system succeed whenever we convict someone who is guilty; it also succeeds whenever an innocent person is exonerated” (Wickham, 2000).

We as police executives need to reexamine our participation and create policies and procedures that assure thoroughness and fairness in our investigative work. The propriety of our participation in the decision-making process when we seek the death penalty should be that justice be served for both the guilty and the innocent. I would rather see a guilty man go to jail for life than an innocent man be executed and know that most police chiefs share my sentiments. Won't you join me in working to see that these recommendations are adopted nationally? Our citizens and our communities need you. Justice needs you.

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# The Role of Traditional Law Enforcement in the Protection of At-Risk Persons

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## Introduction

Historically, police departments across the country have been involved in the protection of at-risk persons. Politicians, celebrities, and persons in the forefront of controversy have the potential to generate negative emotions from the radical fringes of our society. Acts of violence directed at targeted individuals range from demonstrations to assaults to, at worst, assassination.

The need for sound protective skills is not a new requirement in our police departments; however, what is significant is the escalation over the last 30 years of potentially at-risk persons visiting our cities and towns and the dramatic increase in the dangers these persons face. As a result, some of the larger cities, such as New York and Los Angeles, have developed competent protective infrastructures. In most cases, however, police organizations have paid little or no attention to the development of skills and corresponding response capabilities needed in the protective function.

My protective background, both practically and academically, reflects my time spent in the United States Secret Service. During my time in the Service, I was assigned to the vice presidential and presidential protective details. While on the presidential detail, I was assigned not to the president but to his children. I mention this to note that it was from the small family details that I gained valuable experience working with limited resources—manpower, supportive logistics, etc. It was this experience that enabled me to relate to protective situations not blessed with an abundance of assets. At the conclusion of my detail time, I was transferred to the office of training as an instructor. During this period, I worked with agent-trainees and police officers from all over the country. The time I spent in training enabled me to incorporate a substantive practical background into an academic context. It was here that I first learned to verbalize basic protective concepts, a process I am still trying to refine.

A key tenet of Service philosophy is that protective skills are largely contingent upon basic police skills. The Service recognizes that without substantive investigative jurisdictions and the expertise developed by traditional law enforcement, the ability to protect will suffer. I refer to qualities such as “street sense,” anticipation of dangers, interviewing and assessment skills, reading body language, assigning priorities when time is of the essence, and working within a team with defined responsibilities.

These qualities are generic to successful police organizations. Protective organizations, absent basic police skills (and I have seen many in my travels), invariably suffer in their ability to supply high levels of protective proficiency. When I conduct a training class for police organizations in the United States, one of my primary goals is to assist them in recognizing the inherent skills they bring from their law enforcement experience to protection situations. Often, police officers will view protective skills as qualities unrelated to their background and training. Successful protective operations are contingent on sound law enforcement procedures. The two are mutually reinforcing.



Anyone who has ever been involved in training knows the importance of understanding the audience and their relationship to the topic. I am constantly challenged to refine my presentation to suit the specific needs of a class. As an example, some groups may never be used in the inner perimeter in close proximity to the protectee, or they may not be used in the intelligence function of gathering information and assessing pertinent data. In these circumstances, I am required to alter the topic to suit the particular group. The point is that in the traditional police setting, the potential exists for law enforcement to be responsible for all facets of protection, as in cases in which at-risk individuals arrive for a visit with no protective services. In this situation, assigned police must provide all phases of the protective plan. Advance planning must take place: a protective detail formed, motorcade aligned, communications established, protective intelligence procedures structured, and appropriate liaisons links enacted. In short, police security is responsible for all facets of the operation. Contrast this situation to a protectee visiting the town or city accompanied by a sophisticated security organization. In this situation, local police must appropriately interface with the incoming organization, recognizing where their responsibilities and duties lie. It can be safely said that protective scenarios in cities or towns are open-ended. They can be all-encompassing or limited in scope. I particularly like giving presentations to police organizations because I can freely discuss all possibilities.

I have been retired from the Service for almost 9 years. It has been a reflective period for me. I look back on my experiences and training with a sense of detachment that is helpful analytically—what was done well, what is in need of improvement. I feel that as a trainer I am more effective and thoughtful now than I was as a young agent assigned to our training division.

Since retirement, I have been active in private and governmental sectors in the areas of protection and threat assessment. Until 2001, I traveled extensively as a contractor with the Department of State, utilizing my protective background conducting training seminars in third-world countries. The opportunity to view different cultures and to apply my expertise has had a profound impact on me. I like to think I may have had a small influence on some persons that I have encountered. These experiences have influenced my personal views and attitudes. Some may envision protective procedures as hard formulas with little room for interpretation. I would contend that there are many grey areas subject to study and personal philosophy. In the remaining portion of this article, I will attempt to address in detail the five basic essentials of a sound protective infrastructure capable of using appropriate skills and tactics. These areas connect sequentially until a complete product is realized.

## **Principles of Protection**

Central to any organization are basic principles upon which mission success is contingent. I refer to principles designed to enhance protection. The following are considered primary areas of concern when preparing for a visit by a potentially at-risk person.

### **Establishment of Perimeters of Defense**

In describing the above concept, I would like to use as an example a visit by a very high-profile protectee such as the president of the United States. Envision a scenario in which the president is visiting your city to give an announced speech to the public

in an auditorium. In this situation, a high level of protection would be required and three perimeters of defense used: (1) outer, (2) middle, and (3) inner.

The outer perimeter would extend from the entrance doorways of the auditorium all the way into infinity. The word *infinity* is not used in a strict literal sense but as a means of getting the reader to recognize dangers posed today in a world where weaponry is becoming increasingly sophisticated and capable of inflicting harm from great distances. When conducting classes, I will ask students to estimate the maximum range of the most lethal long-range rifle presently in existence. Student estimates vary and, in most cases, greatly underestimate range capability. Sophisticated, scoped long rifles with range capability in the vicinity of 1,500 yards presently exist. This reality makes clear the need for a well-designed outer perimeter especially in situations in which points of elevation, such as tall buildings, may dominate motorcade arrival and departure points. Additionally, the threat assessment formula must factor in the potential for the use of mobile weaponry as was the case in England, where the IRA attempted to use a mortar in an unsuccessful assassination attempt. Police personnel utilized in the outer perimeter would consist primarily of mobile zone cars, fixed checkpoints, helicopter surveillance, and selected counter sniper positions.

The middle perimeter would consist of the entire building in which the function was being held, including the podium from which the speech is to be given. Once the protectee begins his or her speech, however, the podium area becomes part of the inner perimeter. Personnel used in the middle perimeter would be a mixture of plainclothes and uniformed officers. Officer responsibilities would include working fixed checkpoints and controlling access and mobile surveillance posts.

The inner perimeter consists of officers assigned in close proximity to the protectee. The inner perimeter is highly mobile and moves with the protectee.

The concept of mutually reinforcing perimeters can best be explained by using the term *depth of defense*. This is a standard military phrase used to describe a system structured to require adversaries to pass through concentric zones designed to neutralize potential dangers. Perimeters are not necessarily perfect geometric circles. Rather, they are structured to complement the uniqueness of each situation.

In a protective scenario involving significant movement and multiple sites, a protectee may pass through overlapping perimeters of defense. As an example, examine a moving motorcade. In this case, the protectee's vehicle would constitute the inner perimeter. The middle perimeter would be made up of supportive police vehicles, such as the marked police lead and tail cars and the security vehicle directly behind the protectee's car. The outer perimeter could be made up of helicopter surveillance and fixed and mobile police posts on the motorcade route. The motorcade as it approaches a site to be visited then comes in contact with perimeters established for that location. The concept of perimeter protection applies throughout the protective movement that may involve significant distances and numerous sites.

The above scenarios reflect highly sophisticated situations. Most protective operations are more modest in scope and support. The question may be asked as to whether this concept applies to small detail operations. I would suggest that utilizing the concept of perimeter defense applies to all cases. As an example, if a single officer is assigned to protect an individual and has no additional support, I would suggest that it is

still appropriate to think in terms of perimeters. In this situation, there is only one perimeter, that being the inner; however, the officer does have options in terms of perimeter functions and perimeter flexibility. The option exists to move away from the protectee thereby expanding the perimeter (depth of defense is extended), but such a decision has to be quickly and thoughtfully evaluated as to potential gains and losses. All situations are unique; various options may present themselves. The best option is the one that lessens potential dangers. The officer operating alone or with modest support who is aware of perimeter concepts is more likely to be aware of unaddressed weaknesses within that particular security infrastructure. This awareness will not make potential dangers go away, but educated observations may modestly mitigate such dangers by enhancing a sense of preparedness.

### **Security Posts**

Perimeters are held together by a network of security posts, each with a defined responsibility. Depending on the mission, the posts may be fixed or mobile. All officers assigned should have the capacity to communicate directly to the command post. The following posts are used in protective operations.

### **Checkpoint**

Fixed checkpoint posts are designed to screen and control access of vehicles and individuals. They may be used in the middle or outer perimeter. Personnel assigned can vary, but at a high-profile function such as a speech in an auditorium, posted manpower may consist of a uniformed officer, plainclothes officer, fire marshal, and ticket taker. The uniformed officer is the visible symbol of police authority, projecting an image of deterrence and is the primary means of communication with persons attempting to share information that may be pertinent to the protective function. The job of collecting tickets should never be assigned to security personnel. This is the primary function of the ticket taker. Most issues developing at a checkpoint are of a nonsecurity nature such as lost tickets. A properly positioned and structured trouble desk manned by committee staff is a necessity and can resolve such issues and allow the checkpoint to function smoothly. A checkpoint bogged down in nonsecurity issues is vulnerable to security breeches.

### **Surveillance Post**

Surveillance posts may be fixed or mobile and are utilized in the middle or outer perimeter. Examples would include elevated counter sniper posts, crowd surveillance responsibilities, hotel corridors, and over- and underpasses on the motorcade route. Officer dress varies: counter snipers should wear clearly marked uniforms; crowd surveillance personnel should be undercover. All officers must have communication capabilities. It is helpful in structuring security posts to position officers with line of sight to neighboring posts, where practical. This plan enhances structural integrity and complements communications.

### **Special Mission Posts**

Special mission posts are a catchall for posts not previously identified. Examples would include officers assigned to the protectee's luggage, helicopter support, media liaison, and command post operator.

Control of the protectee's luggage is a good example of the importance of paying attention to subtle details that reduce vulnerabilities. Officers assigned to the media should have backgrounds conducive to a successful relationship, such as media-awareness training. Anecdotal to the media function and worthy of mention is the attempted assassination of Ronald Reagan by John Hinckley in 1981. Hinckley was allowed unchallenged access to the designated media area and was able to fire at Reagan from a distance of approximately 16 feet. In this case, perimeters were compromised, and access was gained to an area not controlled by a checkpoint or media agent. In this situation, the public was confined by barricades across the street from the departure point. Had Hinckley been confined to this area, it is unlikely that he would have had a clear shot, and if he was able to fire, the shot would have been difficult. Also, appropriate application of adequate depth of defense would have further mitigated dangers. In concluding the overview on special mission posts, particular emphasis must be applied to the importance of the efficient functioning of the command post. All police agencies must be represented in the command post, and multiple frequencies should be utilized in situations generating a large volume of radio traffic. It may prove tragic when critical intelligence fails to get communicated because of poor planning, malfunctioning equipment, or incompetence.

### **Identification Systems**

Central to allowing controlled authorized access via perimeters and checkpoints are sound, well-designed identification systems. An identification device may be a photo ID for extended use or a simple device, such as a ticket issued by a host committee. Security organizations need to evaluate identification procedures and, where realistic, influence admittance procedures in order to better control access and lessen dangers. The Secret Service employs a flexible system that is used at protective sites. Individuals are screened and issued identification, which allows access and the assumption of particular roles. Venues at airports, residences, function sites, as well as staff and plainclothes officers are assigned appropriate identification. Service identification pins come in a variety of colors and geometric designs to allow flexibility, ensuring that pins used during prior visits are not used at subsequent functions by persons attempting to gain unauthorized access.

Thoughtful identification systems are a necessity; however, security must be constantly watchful for formidable adversaries capable of compromising the system. Because an individual has proper ID does not guarantee that he or she is legitimate and not a potential danger. New Secret Service agents are constantly reminded of the need to screen properly credentialed persons. Are dress and demeanor in accord with the function and their role? Is there something about the person that requires additional scrutiny? Identification systems are tools to be utilized, but inherent weakness should never be overlooked.

### **Miscellaneous Points of Emphasis**

The following are areas of importance that do not fit neatly into a particular category.

#### **Goal of Influencing Percentages**

Perfect security is an impossibility. Recognition of this fact does not imply a pessimistic attitude but a realistic assessment of hard realities. Security personnel need to recognize

this fact but, at the same time, strive to properly use resources and skills to reduce negative potential. Total security is not attainable; however, a competent educated work ethic, supported with adequate resources can greatly lessen dangers.

### **Appropriate Mind Set**

Police work in general is insidious. Because dangerous situations occur rarely, there is a tendency to become complacent and lax. This is especially true in protection. Attacks on public figures are increasing, but the reality is that long time periods may lapse between assaults. Security personnel must battle tedium and boredom in a constant effort to remain alert. Attacks occurring in the inner perimeter are over in a matter of seconds. Assigned security personnel whose attention is not focused or who are out of position may have to deal with the consequence of tragedy. Also worthy of note is the need for a negative mind-set that evaluates situations not from the perspective of the best case but from the worst case scenario. Envision a situation in which a protectee and security are in a crowd at an outdoor rally when a loud bang is heard. If security evaluates the sound as a car backfire (best case) as opposed to a possible gun shot (worst case), valuable reaction time may have been squandered with serious consequences. An example of this principle may have occurred when John Kennedy was assassinated in 1963. Three shots were fired. The first shot was a miss. The second shot exited his throat. The third shot was the killing round. The latest forensic evidence estimates the lapsed time from the first round to the last to be approximately 8 seconds. The driver of the limousine did not significantly increase vehicle speed until after the third round. The driver stated that he had heard the first shot but assumed it was the backfire of a police motorcycle—best case scenario. For most people, an optimistic assessment of events in life can provide for a positive outlook; however, in protective operations and police work in general, the wise security officer must view events as potentially reflective of the dark side of human nature.

### **The Protective Function in a Free Society**

I have traveled with protectees to totalitarian states where personal freedoms were suppressed and access to weapons was severely limited. Grudgingly, I would have to say that my protectee was probably safer in this restrictive environment than in some areas of the United States. In relation to protection, our freedom and openness can come at a high price. Security must recognize cultural issues and make necessary adjustments to accommodate itself to the society in which we live. In the same vein, security must recognize the need for protectees to conduct mobile, active lifestyles. The Secret Service would like nothing better than for the president to confine himself to the basement of the White House. This lack of exposure would certainly minimize dangers; however, in order for the president to fulfill his duties, he must be active, exposing himself to potential dangers. Security organizations must work in situations in which they may have little or no control. Protective security must accommodate a fully functional protectee in a free and open society. Cultural dangers must be recognized and lessened through professional competence.

### **360° Concept of Protection**

Most in security recognize the basic need to supply 360° protection to protectees whenever physically possible. One way to envision this is to imagine your protectee in the center of a protective ball. Security is provided not only on a flat plane but also

above and below. Perimeters, security posts, and associated personnel are integrated, enhancing structural integrity. Examples of this concept can be shown in hotel situations in which the floors above and below the protectee's suite are monitored. An additional example would involve a motorcade traveling with controlled overpasses and underpasses. Even in situations in which security is unable to provide ideal ball-like protection, the concept is still a helpful reminder to personnel of weakness in the security infrastructure that have not been addressed.

### **Psychology of Deterrence**

In situations in which attacks on protectees are perpetrated by formidable adversaries, such as terrorists or criminals, it can be reasonably assumed that adversarial surveillance will be employed prior to the actual attack. It is crucial that security assigned to a protectee project a tough professional image that may in some cases deter potential adversaries. One means of heightening an image of professional competence is for assigned security to always assume that they are being scrutinized. Observations and evaluations may be made by the public in general, by the protectee in particular and, in the worst case, by an adversary trying to make a decision as to the viability of an assault on the protectee.

### **On-the-Record Versus Off-the-Record Protective Movements**

It is virtually impossible to consistently supply highly sophisticated protective levels reflective of elaborate preparatory advance procedures to all protective movements. The primary gage of levels of protection to be applied to a protective movement is the degree of publicity given to a specific event. Those that are highly publicized and open to the public would be considered *on-the-record* movements requiring substantive preparation. A protective movement not publicized and less formal, such as a visit to a friend's house, would be considered an *off-the-record* movement. Security preparations in this case would be modest in comparison to the publicized event. Logistical realities necessitate these differing standards. Also, security must recognize the need to accommodate a protectee's lifestyle by employing, where appropriate, less invasive security procedures.

### **Importance of Basic Medical Skills**

Referring again to the security professional's goal of reducing negative potential, let us examine the need for basic medical skills. A substantial portion of a new Secret Service agent's basic training involves the development of medical skills, referred to as *10-minute medicine*. This term emphasizes a number of key points: first is the assumption that the protectee and detail are within—at a maximum—a 10-minute movement to a previously surveyed hospital. A prior survey of the hospital ensures that the detail will arrive at the institution with a clear understanding of the facility's capabilities. This is especially important if the protectee has medical issues requiring specialized expertise. Secondly, the term *10-minute medicine* connotes the skills required to maintain life support in the early stages of a life-threatening situation. In first responder terminology, this would refer to medical skills defined in the A-B-Cs of first aid—airways, breathing, circulation, and the control of bleeding.

The assassination attempt of Ronald Reagan by John Hinckley in 1981, previously noted, is a prime example of security personnel's need for basic medical training. In

this situation the attack had occurred, and the detail was in the process of a motorcade evacuation. The detail leader, in the backseat of the limo with the president, was attempting to check out the president's condition. He asked the president if he was "OK" and conducted a cursory check of the president, trying to determine whether he had been injured. The president replied that he was shaken-up but not injured. Hearing this, and seeing no signs of visible injury, the detail leader ordered the motorcade to return to the White House. Shortly thereafter, the detail leader noted a small trickle of red, frothy blood coming from the president's mouth. The detail leader, recognizing the potential for a serious chest/lung wound—bright red aerated blood—immediately ordered the motorcade to a surveyed hospital in close proximity. If the motorcade had proceeded to the White House and not gone to the hospital, the president would probably have died from internal blood loss. This situation also exemplifies the need for decisionmaking based on a worse-case scenario—internal bleeding—as opposed to a best-case scenario—the president in the pandemonium of the moment bit his lip. Lastly, worthy of note is the statistical probability that first-aid skills used by security, will likely be applied to combat dangers we all face such as heart attack, stroke, or accident as opposed to injury incurred in an organized attack. These skills must be emphasized not only during initial training but also in repetitive inservice training.

### **The Importance of a Protectee Having a Basic Understanding of Security Issues**

It was reported that President Truman once stated that he took orders from two sources only, his wife and the Secret Service. The reality is that security decisions are often made not by security officials but by protectees. As this is the case, it is in the interest of the protective organization to have a protectee educated in security concepts and the potential effects his or her decisions may have on personal safety and well-being.

A detail leader who has established sound rapport with his protectee should utilize appropriate opportunities to elevate security awareness and education. This process, in most cases, is accomplished through informal conversations and briefings. President George Bush attended Service training exercises (specifically simulated assaults on a protectee) and had a high level of understanding of security concepts.

If a protectee makes a decision on security issues that elevates dangers, the best that can be hoped for is that this decision is made with the protectee fully cognizant of potential negative consequence. Later in this report, I will discuss an aspect of John Kennedy's assassination that will amplify this point.

### **Advance Preparations Prior to the Visit**

The textbook definition for a protective advance is as follows: "*A general term concerning all security activities, plans, and arrangements made prior to and in conjunction with a visit of a protectee to a given area.*" This simple definition connotes a wide variety of factors to be dealt with, such as sites, motorcades, protective intelligence, police liaison, and media issues. The ability to conduct a successful advance requires strong professional and people skills.

I often ask groups their opinion as to how long it takes to conduct an advance. Opinions typically range from a few days to a week. The reality is that preparation time varies greatly. Advance work for the Pope's visit to the United States began over one year prior to his arrival. Contrast this with a situation in which a decision is made by a protectee on the spur of the moment to attend a highly publicized function. Security must be flexible and adjust to situations in which lead time is less than ideal. It is important that security apply a very liberal definition to advance preparation concepts. I will ask groups to envision a situation in which a two-person detail with no additional support is assigned to a protectee who is attending a meeting in a building. One of the security personnel leaves the building to go to the vehicle in preparation for departure. I ask the group whether the security person going to the vehicle could be considered advance preparation. The group may debate the issue but invariably agree that, though brief in duration, this example could be defined as advance work. The point of emphasis here is the benefit of an open mind-set reflective of heightened skills and awareness.

In the traditional advance, with adequate lead time, the team is tasked with basic principles already discussed; perimeters and security posts are integrated, overlapping communications are established, and identifications systems are designed to allow authorized access. It is generally recognized that the adversary's greatest asset is the psychological element of surprise. Shock and immobility are by-products of security organizations unprepared for confrontations. Competent professional advance work anticipates negative possibilities and provides the infrastructure upon which the safety of the protectee depends.

Much of the security function can be defined in terms of offensive and defensive modes. As an example, reacting to a gun in a crowd has to be categorized as a defensive response. Advance work, however, though predicated on negative anticipation, can be properly defined as offensive. The advance team is open to aggressively explore a variety of options. No two advances are alike. Utilization of resources, especially in situations in which logistical support is modest, requires thoughtful, innovative delegation of assets.

Successful security advances are often dependent on the team's ability to work effectively with a protectee's staff or a function's host committee. If not addressed properly, this relationship has the potential to be arbitrary. With a political protectee, the official's staff may be thinking in terms of votes and exposure; whereas, security is thinking in terms of minimizing exposure and in so doing lessening risks. The potential for conflict exists. Both groups have agendas that need to be reconciled through thoughtful communication. When I was on the vice presidential protective detail, we—the Secret Service—held training sessions with the political staff. This atmosphere provided healthy dialogue and a mutual empathy. Many problems that might have occurred in the field were thus avoided. I have one further observation of the importance of appropriate staff/security relations. I refer again to the Kennedy assassination. In this situation, agents were denied access to the rear bumper running boards of the limousine. If agents had been positioned on the running boards, there is a reasonable chance that Kennedy might have survived. Remember, the first round was a miss, and the second exited his throat. It is reasonable to assume the possibility of the agents covering Kennedy prior to the third killing round. Also agents on the running boards (inner perimeter defense) would have made shooting into the open vehicle more difficult. I cannot speak from first-hand knowledge as to the reason for the absence of the agents. If the political staff had its way and refused to allow the



agents to be posted on the vehicle, this as an example of the staff making security decisions it has no business making. One explanation for this situation that has long circulated in the Service culture is that agents were not allowed access to the rear bumper running boards at the specific direction of the president; however, the point is to not lay blame but to learn from case studies such as the Kennedy killing so that similar errors are not made in the future. This situation also reinforces the need for an educated protectee aware of the potential negative consequences of a decision adversely affecting security's ability to function.

In ideal situations, with adequate manpower, the advance team is broken down into defined areas of responsibilities. The following areas are assigned to specific people: lead, site(s), motorcade, intelligence, technical (EOD sweeps, etc.), communications, and counter sniper. Each person focuses on his or her primary responsibilities. The lead security person is in overall command. This person is responsible for the integration of all facets of the operation. The above-described team is the ideal. Logistical realities may greatly reduce the team, and it is conceivable that a single person would have to fill all functions. This person is dealing with a difficult situation in which much is required; however, even in this case, it is helpful to recognize categories and associated functions. In this manner, a sense of appropriate priorities and responsibilities are more clearly defined.

There are various reasons for conducting a protective advance. The obvious reasons are to minimize risk to the protectee and establish secure areas (back to the concept of positively influencing percentages). There are, however, additional reasons for advance planning. Security needs to be conscious of dangers to protectees extending to the public positioned in the vicinity of a potential target. Too often, security does not pay adequate attention to vicarious dangers that may affect unintended targets. Also, collection of information is a critical by-product of competent advance work. The killing of Robert Kennedy in 1968 is an unfortunate example; had there been a police advance presence, the killing might never have occurred. The assassin, Sirhan Sirhan, visited the hotel where the killing took place days prior to the actual assault. He acted in a manner that brought scrutiny from the hotel staff. If there had been a police advance presence at the hotel, he might have come to their attention. Additionally, schedule integrity, ensuring that the protectee arrives on time, is also a function of the protective advance. If the protectee is late for a function, it should not be a reflection of poor security planning, such as avoidable motorcade delays. When protectees arrive late for a function, security integrity at the function site tends to suffer.

Lastly, a function of advance work is to ensure that the event concludes absent preventable embarrassing situations involving the protectee. A person able to penetrate security and hit a protectee in the face with a whipped cream pie could just as easily have been in possession of a weapon with intent to harm. Think back to the presidential campaign of 1996. Bob Dole was giving a speech from an elevated platform with railings. He left the podium and placed his hand on the railing. He leaned into the railing, which was not adequately reinforced, and fell into the crowd. This situation was preventable and would not have occurred if adequate advance protocols had been in place. Once security loses the trust and confidence of a protectee, it is very difficult to get it back.

The best training device to develop expertise in advance procedures is to involve students in practical exercises in which they are broken into groups and actually

advance a site. The students present their security plan to the remainder of the class, and constructive critiques are applied to assist in the learning process. Absent the option of a practical exercise, some general comments may be helpful in informing the reader on what is involved in advancing a particular site.

Prior to the actual advance, it is important for security to be in contact with the protectee's staff or event host committee in order to ensure that pertinent information is shared and questions are answered. Also, the security advance team has to realistically assess the situation as to the time that they are to be allowed to conduct the advance and the resources that will be made available to them. The team must have a sense as to what can and cannot be accomplished.

As an example, let us examine some general points relative to an advance centering on a hotel in which the protectee is to give a speech in an auditorium. The first person contacted by the advance person should be the hotel manager. Sound rapport with this person will naturally extend to hotel security, building maintenance, and any other hotel employees that might play a role in the visit. Prior to the arrival of the protectee, the hotel should be viewed as the middle perimeter. The advance person, given reasonable time, should acquaint him- or herself with the entire building, not just the areas to be visited by the protectee. It is suggested that the advance person start at the portion of the building farthest away from the area to be used. Factoring in resources, to include hotel security, the advance person elevates standards as proximity to the location to be visited becomes more clearly defined. There are many areas of concern when conducting an advance in a hotel including implementation of perimeters and 360° concept of security, proper utilization of preposted personnel, knowledge of the hotel to include entries/exits and emergency procedures, command post and communication concerns, emergency medical planning and liaison with the nearest hospital, placement of primary motorcade and positioning of an emergency back-up vehicle, and appropriate prior communication with other police jurisdictions. As a closing point, it needs to be stressed that when using preposted police personnel at a protective site, it is incumbent on the advance person to thoroughly brief these individuals. Too often, posted officers are inadequately briefed and unsure of their role. Preposted personnel should have a thorough understanding of their specific function, complemented by a general sense of the entire protective operation.

## **Protective Intelligence**

Protective intelligence is a simple term reflective of a wide range of issues and concerns. It consists of all information relating to any individual, group, or activity that might affect the security of a protectee. Intelligence may come from a broad range of sources to include informants, protective advances, police liaison, and inner perimeter working detail counter surveillance observations. Sophisticated intelligence gathering requires well-trained personnel tasked to aggressively pursue potentially meaningful events or information. Intelligence gathering is offensive in nature, requiring a proactive mindset.

The process requires that all potential sources of information be explored. Meaningful information must then be evaluated as to authenticity, integrated with existing data, interpreted as to its relationship to the protectee, and disseminated to those with a need to know. Finally, solutions to mitigate potential dangers must be provided.

The goal of a protective intelligence operation is to neutralize dangers prior to their reaching the inner perimeter. If a danger is allowed access to the protectee, percentages in the success/failure ratio are not to security's liking. The consequence of a failure of protective intelligence safeguards could prove tragic.

Competent intelligence gathering is a reflection of a sophisticated police infrastructure. Intelligence skills separate the professionals from the "bodyguards," who may have no sense of the concept or its significance. Personnel assigned to this function should have a sound understanding of the entire protective process; however, theirs is an investigative function requiring traditional police skills of analysis, deductive reasoning, interviewing, the ability to think like the adversary, and that quality most difficult to define, "street sense." It is also helpful for assigned officers to have some understanding of psychiatric issues that may drive persons presenting dangers. Depression, paranoia, schizophrenia, heightened sense of entitlement, and unrestrained rage are qualities sometimes seen in individuals with mental disorders, who may be a threat to a protectee. A general understanding of these emotions can prove beneficial to law enforcement; however, the need for liaison, where appropriate, with competent forensic psychologists and psychiatrists must also be stressed. It also should be noted that these are the same skills that might be employed in the assessment procedures involving potential school- and workplace-violence dangers.

A key component to the intelligence function is liaison with other appropriate police agencies. There may be significant information possessed by other relevant organizations. Efforts must ensure that significant data is obtained and evaluated. The CIA, FBI, and the Naval Intelligence Service were aware of the activities of John Kennedy's killer, Lee Harvey Oswald. The FBI was aware of Oswald's employment at the school book depository building. It was from this building that Oswald was able to fire at the motorcade. Had pertinent information regarding Oswald been shared with the Secret Service, this tragedy might have been averted. A second case worthy of review is the attempted assassination of President Gerald Ford in San Francisco in 1975 by Sara Jane Moore. The San Francisco police notified the Secret Service, stating that Moore was known to them and had recently said that when Ford came to town "she was going to test the system." This statement is a good example of the type of veiled language that the Secret Service is constantly tasked with evaluating. Secret Service agent personnel interviewed Moore and declared her not to be a danger. The next day Moore fired one round, a miss, as Ford exited his hotel. The agent that interviewed Moore noted that Moore had stated she was not a danger to the president and continually emphasized that her life had been a mess and that the most important thing in her life was her son who she would not do anything to hurt or embarrass. The interviewing agent, a highly experienced and respected professional, accepted her rationale. This case emphasizes the difficulties in assessing the potential dark side of human nature.

If a person is identified as a potential danger, management options may exist, depending on circumstances. The best option is to ensure through a legally justified arrest or psychiatric commitment that this person does not have access to the protectee. If this is not possible, surveillance of this person may prove effective unless other limiting factors preclude this. If potentially dangerous individuals are left unconfined, thought should be given to supplying posted officers and inner perimeter security with biographical look-out data. Also, liaison with family and friends of the subject may prove beneficial in establishing links of communication helpful in the transmittal of significant information.

In advance work, the protective intelligence officer is charged with numerous tasks: review all pertinent data, establish liaison with other police agencies, conduct inquiries at mental institutions, compile list of potentially adversarial groups and persons, initiate appropriate interviews, conduct name checks of those persons needing clearance to allow access to the protectee, and conduct briefings on overall intelligence concerns. Additionally, the intelligence officer is responsible for ensuring proper procedures for mail, food, and gifts for the protectee. During the actual visit of the protectee, the plainclothes intelligence officer with an assigned counterpart should be employed in a mobile capacity with the ability to quickly respond to issues that need addressing. An example of this would be an individual creating a disturbance at a ticket checkpoint. In this case, the protective intelligence team is notified by radio and quickly responds. The intelligence team assesses the situation and resolves the issue, allowing the checkpoint to properly function.

Groups of primary concern to the protective intelligence officer are the mentally disordered, the criminally motivated, and terrorists. It is helpful to classify by group to assist in identifying commonalties associated with each group; however, it would be naïve to suggest that such groups are totally distinctive and self-contained. For example, a terrorist group may be dominated by psychopaths and individuals using political ideology to cloud basic criminal agendas.

In closing this portion of the article, I would like to address the threat assessment of a person who makes a statement prior to the commission of a violent act. This statement needs investigative scrutiny. The type of situation I am referring to is similar to that of Sara Jane Moore. Cases that end in violence, such as an attack on a protectee, are the end result of a series of emotional and behavioral stages characterized by violent negative thinking, progressing to arbitrary communications, transitioning, in the most extreme cases, to violent acts (USDOJ, 1998). You will note that this sequence suggests a radical lessening of potential people involved as the stages progress. Most of us at one time or another engage in violent thinking; some of us communicate violent intentions; and finally a very small percentage of us engage in premeditated violence. Premeditation suggests certain preparatory actions that make the process vulnerable to competent intervention. Primary areas of concern in an investigation of this type are identifying attack-related behaviors and significant communications, developing background data, examining motives, and identifying potential targets (USDOJ, 1998). Gavin De Becker, the author of *The Gift of Fear* (1999) has developed a formula, which is helpful in the assessment process once pertinent data has been assembled. The formula is broken down into the following letters: J – A – C – A. *J* refers to justification. Does the subject feel justified in carrying out a violent act? *A* refers to alternatives. Is the subject so focused as to preclude alternatives to an assault? *C* refers to cost. Is the subject willing to pay the price of the commission of the act, such as imprisonment or suicide? *A* refers to ability. Does the subject have the physical and mental ability to carry out the act? The JACA formula appears to be simple and straightforward; however, interpreting this formula, helpful as it is, requires astute skills that allow the assessment professional, knowledgeable of the subject's view of reality, to interpret data through the eyes of the subject being evaluated (p. 97).

## Motorcades and the Driving Function

Over 60% of violent assaults conducted against political protectees worldwide occur in relation to motorcades and driving. I refer to three distinct areas of vulnerability: (1) moving motorcades, (2) protectees leaving a vehicle at a publicized site, and (3) protectees returning to a vehicle at the conclusion of a publicized visit. Unfortunately, numerous examples exist in support of this point: 1981, Ronald Reagan assassination attempt (returning to the vehicle); 1975, Gerald Ford assassination attempt (returning to the vehicle); 1995, Yitzhak Rabin assassination (returning to the vehicle); 1981, Pope John Paul assassination attempt (moving motorcade); 1963, John Kennedy assassination (moving motorcade); 1998, Eduard Shevardnadze, President of Georgia, assassination attempt (moving motorcade). Statistical data on celebrities or other notable figures who may be at-risk are not readily available, but the point is that elevated dangers are associated with driving. It is interesting to note that outside of attacks on moving motorcades, all the assaults noted above occurred when the protectees were returning to the vehicle at the conclusion of a function. This might be best explained not by assuming that the attacker was absent when the motorcade arrives at the site but by the hard reality that the attacker was cognizant that as the protectee exited the event, this was the last opportunity to attack.

With moving motorcade situations, one goal of the protective organization is to predict where attacks are most likely to occur. With this in mind, areas on the motorcade route that can be classified as choke points are zones of elevated concern. A choke point is an area on the route where security has no alternate route options and must transit these locations. Arrival and departure locations often fit this definition and offer adversaries predictable opportunities. Choke points should be posted if possible, and, minimally, security personnel in the motorcade must apply a heightened sense of awareness to these specific locations.

If attacked while moving, security must execute an escape plan. Primary responsibility for the execution of this plan rests with the driver of the protectee's vehicle, working in tandem with a follow-up security vehicle if there is one. Within two seconds, the driver must analyze the situation and apply attack recognition—negative mindset—and execute the appropriate option. Options include increased speed, evasive maneuvers, ramming, and turns designed to facilitate escape. All security drivers in a motorcade under attack must quickly transition from a defensive posture to actions that will allow movement from the kill zone. This process is referred to as a flexible response capability.

Moving motorcades have long been considered the Achilles heel of protective operations. Adversarial advantages in attacking a motorcade would include the variety of options on the motorcade route as to where to initiate the attack, potential numerical superiority of attackers, utilization of long-range weaponry, and the sophisticated orchestration of the attack to complement the elements of tactical elevation, crossfire, and surprise.

A primary principle of the security culture is that routine is deadly. If an attack is directed at a protectee in a moving vehicle, it can be safely assumed that the assault was the work of sophisticated adversaries, such as terrorists or criminals, who, prior to attack execution, conducted extensive surveillance. This type of surveillance is designed to identify weaknesses and vulnerabilities in the protectee's routine and

lifestyle. Predictable routes that encompass choke points indicate a security plan absent variety and thoughtful negative anticipation. A successful assault on the motorcade is predicated on successful surveillance by adversaries. Information gathered by surveillance is crucial to attacker strategy and planning. Inner perimeter security personnel in moving situations must recognize the importance of counter surveillance skills and the need for focused observations. The goal is to identify dangers in the surveillance phase and prevent a tactical assault capable of inflicting harm on a protectee in the inner perimeter.

In protective operations with adequate resources, security will be tasked with structuring a motorcade designed to mitigate dangers as well as to accommodate staff and, possibly, press. Whenever possible, a marked police lead vehicle should be used. The protectee's vehicle follows the lead. The working detail's vehicle, referred to as the follow-up vehicle, follows directly behind the protectee's vehicle. A marked police tail car should be used to bring up the rear of the motorcade. Transportation for staff and press can be incorporated into the motorcade between the follow-up vehicle and the police tail car. A question that often comes up regarding follow-up car function is how close this vehicle should be to the protectee's vehicle. There are exceptions, but in general, the driver of the follow-up car should not be so close to the protectee's vehicle as to be unable to see the rear tires of this vehicle. This positioning allows for close proximity but not so close as to eliminate the options of tactical response on the part of the follow-up vehicle. This vehicle must be in position to respond aggressively to a variety of situations. Also, if police escort motorcycles are used in the motorcade, these motorcycles should be kept away from the protectee's vehicle and the follow-up car. Motorcycles in proximity to these vehicles may hinder radical movement by the protectee's vehicle and the follow-up car.

Factors noted above reflect multiple vehicle motorcades; however, hard logistical realities may eliminate all vehicles but one, that being the protectee's vehicle. In this situation, protective security is severely limited as to a supportive infrastructure. Even here, basic security skills and concerns still apply. Counter surveillance observations must be used; an aggressive mindset must be employed; and driver's skills must be in place to complement radical movement where appropriate. The single biggest lesson to be learned from the Kennedy assassination of 1963 is the need for the driver of the protectee's vehicle to possess attack recognition skills and commensurate tactical driving abilities. This lesson is just as significant for a single vehicle as it is for a multiple-vehicle motorcade.

## **Inner Perimeter Security**

Referring back to perimeters (security posts and the concept of the protective ball), consider a situation in which the outer and middle perimeters have been breached, security posts and identification procedures compromised, and protective intelligence protocols defeated. In this situation, the last line of defense remains, that being the inner perimeter made up of security personnel, referred to as the working detail, in close proximity to the protectee. This detail could be one person or as many as six and is highly mobile, moving with the protectee throughout the function.

Threatening actions, such as a handgun or knife assault, directed at a protectee in the inner perimeter initiate a security response that must be classified as defensive.

The attacker has the initiative and operates from an offensive posture; however, trained security must recognize and assess the situation and quickly transition from reaction (defensive) to response (offensive). A detail slow to react or not reacting at all may witness tragic consequences. Quick response time on the part of the working detail is essential to the safety of the protectee.

A prime example of how quickly situations occur in the inner perimeter is the shooting of George Wallace, who was campaigning for the presidency in 1972, by Arthur Bremer. Wallace was shaking hands on a rope-line. The working detail was made up of Secret Service agents and Alabama highway patrol officers. As Wallace continued to shake hands, a handgun appeared from behind the rope-line. Five shots were fired from a distance of approximately 2 feet (Bremer to Wallace). All five rounds struck Wallace. Three rounds exited Wallace and struck others in close proximity. The news film of this incident is graphic and is excellent for use as a teaching tool in classes on protective procedures. After viewing the film, class participants are asked to estimate the lapsed time from the moment the gun is visible until the final round is fired. Estimates vary but usually fall into the 10- to 12-second range. The actual lapsed time was 1.9 seconds. Wallace was shot five times in less than two seconds. This event emphasizes the need for a properly trained and focused working detail. A second situation worthy of note is the assassination of Prime Minister Yitzhak Rabin of Israel by a religious fanatic in 1996. In this case, Rabin was departing a rally in Tel Aviv. He was walking to his vehicle accompanied by Israeli security. The assailant was able to approach from the rear and, at a distance of approximately 2 feet, fire and kill Rabin. A key principle of inner perimeter security is applying consistent 360° of defense. This concept in an academic sense is easy to discuss; however, in reality, it is a tactic requiring teamwork and prior training preparation. In the Rabin situation, although adequate personnel were used, rear coverage was totally inadequate. Security personnel were focused on what lay ahead and ignored what was occurring to their rear. In this manner, the protective circle was tragically compromised.

The inner perimeter is made up of personnel ingrained with a team philosophy. Each member is assigned a specific function. It is important to keep the inner perimeter free of other law enforcement not assigned to that function. Additional law enforcement within the inner perimeter and not trained in inner perimeter protocols and skills may hinder the working detail's ability to function properly.

Police officers assigned to work inner perimeter security may need to recognize the need for a change in basic law enforcement philosophy. Officers involved in confrontational situations are trained to be aggressive and, if necessary, attack the source of the problem. In protective work, the inner perimeter must at all times do what is best for the safety of the protectee. The inner perimeter is trained to nullify the assault and then in most cases cover the protectee and evacuate. Prolonged engagements with attackers or the perceived need to effect a physical arrest may be detrimental to protectee safety.

Rationale for the need for inner perimeter security is similar to points previously made in the segment on protective advances; however, special note needs to be made of dangers posed when a protectee enters a crowd. Depending upon the situation, crowd dynamics can vary greatly. Proper planning and anticipation relative to crowd control and adequate inner perimeter personnel are key. Often, security and planners can be deceived into a comfort zone because of the anticipation of

a “friendly” crowd. A friendly crowd that is overly enthusiastic and not properly managed can pose safety issues to the protectee. Also, a “friendly” crowd can supply cover to the person intent on violence, as seen in the Rabin example.

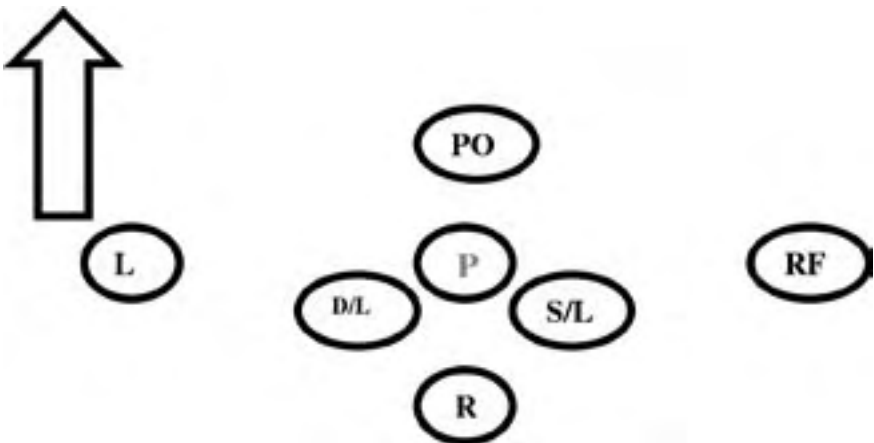
In discussing detail formations used in the inner perimeter, it is helpful to begin with a formation using six persons. I recognize that police organizations are highly unlikely to use a six-man formation; however, in training, teaching points are more easily made using this formation as an example. This formation is referred to as a “diamond” formation, suggestive of a geometric configuration. The key principle in all formations is the need for 360° of protection at all times. The diamond formation envisions a protectee in the center. The protectee is flanked, in close proximity, by a detail leader and a shift leader. The diamond is completed utilizing point, rear, and flanking personnel. The key to formation integrity is to minimize security personnel movement in situations in which a moving protectee makes radical changes in direction. As an example, a moving protectee turns 90° to the right, but personnel positioning stays the same as when the protectee was proceeding straight ahead. What changes is the focus of responsibility: right flank becomes point, rear becomes right flank, left flank becomes rear, and point becomes left flank. In this situation, security personnel pivot around the protectee minimizing movement and maintaining perimeter integrity.

The following diagrams illustrate the above scenarios:

### Keys

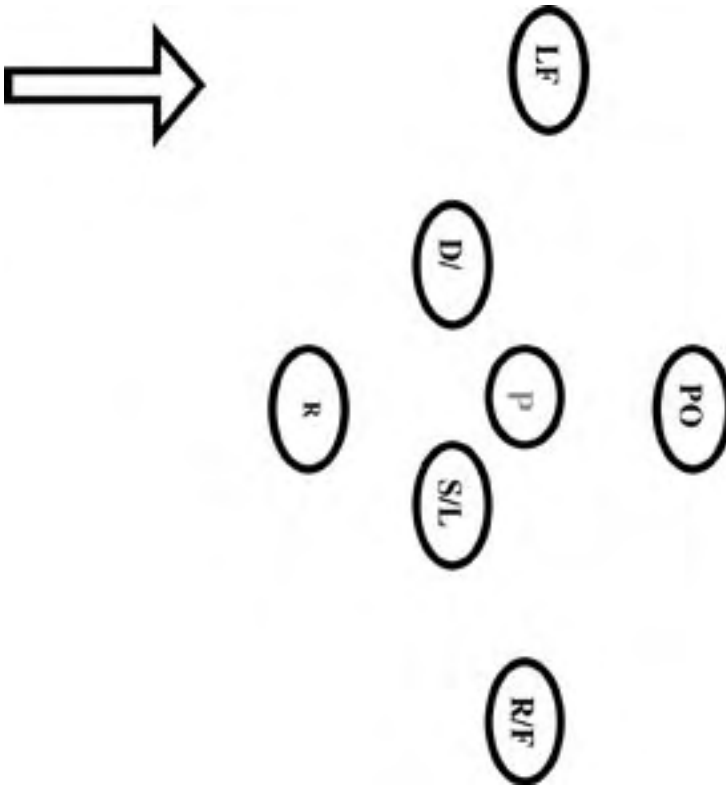
- P = Protectee
- D/L = Detail Leader
- S/L = Shift Leader
- PO = Point
- RF = Right Flank
- LF = Left Flank
- R = Rear
- ↑ = Direction of Movement

### First Situation





**Second Situation (Protectee turns 90° to the right.)**



These principles apply in all formations; however, as formation manpower diminishes, movement becomes more extreme out of tactical necessity. The simplest situation is a formation employing only one security person because there is no confusion as to responsibility. It is also the most dangerous because of lack of support. The single person has responsibility for the entire protective circle; this person must be constantly evaluating where dangers and situations are most likely to occur and then position him- or herself accordingly. I also feel that the use of geometric terms such as “diamond,” “box,” and “wedge” are entirely inappropriate. It would be naïve to assume that a particular geometric formation would be used throughout a movement. A better approach is to avoid geometric terms and to be cognizant, instead, of the number of security personnel available and the need to structure perimeter defense to suit the needs of a situation.

When working the inner perimeter, security personnel must be aware of the need to forcefully communicate perceived dangers, such as the appearance of a weapon, to others in the formation who, for one reason or another, do not see the danger. As an example, the security officer on the point of the formation sees a handgun pointed in the general direction of the formation. This person must accomplish two things: (1) communicate the word “gun!” loudly and clearly and (2) simultaneously attempt

to nullify the assault. The detail personnel hearing the communication surround and evacuate the protectee from the area. If the point person attempts to nullify the assault but with no communication, valuable time that could have been used to cover and evacuate may have been lost. The Secret Service has found from hard experience that while a forceful physical reaction by security personnel is normal to human nature, the type of communication noted here is not. This type of response must be ingrained in security personnel through repetitive training.

Officers in the inner perimeter must be constantly evaluating persons with whom their protectee comes in contact. The hands are the primary tool used to initiate an assault and are, therefore, a constant focus of scrutiny. Sudden hand movement or hands obscured in some fashion are concerns for security. Additionally, body language, eye contact or the lack of eye contact, dress, and general demeanor may warrant the attention of security.

The relationship between the protectee and assigned security is delicate and is based on a mutual sense of defined roles and professional standards. If the opportunity exists, and prior to operational security being initiated, the detail leader should brief the protectee on the role security will play. This first meeting is crucial for establishing a base for a successful relationship open to two-way communication. The adage that first impressions are lasting applies in protection. A by-product of professional conduct is a healthy sense of trust and rapport between security and the protectee. Security personnel often hear comments and see situations involving the protectee that are of a sensitive nature. If these incidents are made public through security personnel indiscretions, the consequences to the relationship could be severely damaging. It is very difficult to protect someone who does not trust his or her protectors. Lastly, it is important that security personnel are conscious of their proper roles. I have witnessed in the governmental and private sectors examples of assigned security engaging a protectee in a gratuitous, self-serving fashion. It was reported publicly that Boris Yeltsin's head of security was also his primary political confidant. This is a negative example of a security person functioning beyond his or her defined mission.

## **Conclusion**

This article was written to inform and educate police officers on the skills and procedures needed to protect at-risk persons visiting their jurisdictions. I recognize that some of the examples and teaching points made are unlikely to apply directly to police organizations unless the situation involves a visit of a high-level protectee such as the president of the United States. Departments tasked with supplying the whole security package to include inner perimeter personnel are not likely to use large numbers of officers in the defensive circle or conduct highly sophisticated advance preparation. I do not mean to imply that these skills do not exist, but logistical realities and support capabilities are likely to impose restrictions. Also, it must be noted that some potential protectees visiting cities and towns may have low threat levels requiring a modest standard of protection. Recognizing these limitations, I firmly believe that in training of this type, the appropriate approach should still emphasize what is involved in a high-level, sophisticated protective infrastructure. The security person aware of and adept at the skills necessary to the six-person protective formation is better prepared to function as a one-person detail. This point also relates to protective advances. The individual comfortable

in a highly structured protective advance using adequate lead time is more likely to perform properly in a situation in which personnel support is minimal and time constraints require an educated, flexible approach.

It is suggested that police organizations give consideration to an active training approach that would complement skills and awareness issues discussed in this article. A presentation modest in depth and duration would be sufficient for recruit or in-service classes; however, in those jurisdictions with reasonable potential as to need, it is suggested that a training program be enacted to ensure sufficient manpower sources with commensurate skills are available when the need arises. Training for this group would emphasize classroom academics and also practical exercises. These exercises would stress advance procedures; formation training; motorcade driving skills; and most importantly, simulated assaults on a protectee.

I recognize that in these times of fiscal constraint, much thought must be given to the allocation of training resources. I make note of this because of my strong conviction that if presented properly, protective training greatly complements basic police issues of concern. Heightened awareness as to negative potential, tactical driving proficiency, interviewing and assessment skills, alignment of priorities when time is of the essence, importance of medical training, ability to work within a team with defined roles, and people skills allowing for healthy interaction outside the police community are qualities necessary not only to the protective operation but also connect to the very heart of a competent police organization.

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# School Resource Officers as Community Police Officers: Fact or Fiction

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On any given day, there are more than 3,800 school resource officers (SROs) on duty in the United States. An SRO is officially defined by Part Q of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 and amended in 1998 as “. . . a career law enforcement officer, with sworn authority, deployed in community-oriented policing, and assigned by the employing police department or agency to work in collaboration with school and community-based organizations” (U.S. Department of Justice, 1999, p. 1); although, the term is often applied to any sworn law enforcement officer working in an educational environment (NASRO, 2003). SRO programs range from prevention-based, collaborative community policing models to reactive, enforcement-based traditional policing models (and everything between the two) (U.S. Department of Justice, 1999).

These SROs have four primary responsibilities; the last three are commonly referred to as the TRIAD concept (Moore, 2001; NASRO, 2003): (1) act as a liaison between the school, community, and police, (2) teach law-related education classes, (3) counsel students, and (4) perform law enforcement duties (U.S. Department of Justice, 2001). Typically, SROs are city or county law enforcement officers employed by police departments or sheriff’s offices assigned to work specifically in one or more schools. Although SROs may be funded fully or partly by the school district that they serve, they typically remain employees of their respective law enforcement agency (Moore, 2001).

SRO programs are widely acclaimed and widely used—NASRO reports that SRO programs are active in all 50 states in some form. Nevertheless, as Redding and Shalf (2001) suggest, despite the intuitive perception that SROs should make schools safer, it is difficult to find any empirical studies that assess whether this is the case. Furthermore, little is known about the characteristics and attitudes of the officers who serve as SROs, their actual role on the school grounds, the perceptions that school administrators have of SRO’s, and the SROs contribution to school safety. Finally, while many authors have suggested that SROs are a natural “fit” for community police officers, no empirical studies have examined whether this is actually the case. Thus, using responses from 119 SROs and 126 principals whose schools are served by an SRO, we examine the following: the daily activities of SROs in Kentucky and whether or not these activities fit in the community policing model, perceptions of principals regarding the effectiveness of SROs, and whether a typology of SRO styles might be identifiable.

## Community Policing

Just a few decades ago, the unquestioned ideal model of good policing was the professional model—police officers who were well-trained, well-equipped, and tightly managed and who enforced the law in a professional manner, as epitomized by the popular images of the FBI and the Los Angeles Police Department. In the heyday of this model (the 1960s and 1970s), however, crime rates escalated and police-community relationships soured (Kelling & Moore, 1988). In addition, evaluation research indicated that the central operational strategies of the professional model—motorized preventive patrol, rapid response, and follow-up investigations—were largely ineffective.

Starting in the 1980s, a more community-oriented approach to policing began. Police departments began employing foot patrol as a central component of their operational strategy, implemented crime prevention programs that were reliant on civilians and volunteers (e.g., neighborhood watch programs, community patrol, and CrimeStoppers programs), and made permanent assignment of officers to geographic areas a fixture in their departments. This came to be called community policing, entailing a substantial change in police thinking, “one where police strategy and tactics are adapted to fit the needs and requirements of the different communities the department serves, where there is a diversification of the kinds of programs and services on the basis of community needs and demands for police services, and where there is considerable involvement of the community with police in reaching their objectives” (Reiss, 1985, p. 63).

Research on the effectiveness of community policing has yielded mixed results. Foot patrol seems to make citizens feel safer (Police Foundation, 1981) and reduces fear of crime and disorder (Chicago Community Policing Evaluation Consortium, 2003; Cordner, 1986; Pate, Wycoff, Skogan, & Sherman, 1986) but it may have minimal effect on the crime rate (Police Foundation, 1981).

It is difficult to describe community policing because it has remained a rather vague and broad concept. One widely recognized community policing framework presents nine elements—three philosophical, three strategic, and three tactical (Cordner, 2001):

1. A shift in departmental philosophy to place more value on citizen input
2. A broad view of the police function rather than a narrow focus on crime fighting or law enforcement (Kelling & Moore, 1988), recognizing the kinds of non-law-enforcement tasks that police already perform and seeking to give them greater status and legitimacy (e.g., order maintenance, social service, and general assistance duties)
3. Tailored policing based on local norms and values and individual needs (officers and their supervisors are asked to consider the “will of the community” when deciding which laws to enforce under what circumstances)
4. Less reliance on the patrol car and more emphasis on face-to-face interactions through reoriented operations and strategies such as foot patrol, directed patrol, door-to-door policing, and other alternatives to traditional motorized patrol

5. Permanent assignment of officers to a geographical area with a shift in patrol accountability from time of day to place by establishing a 24-hour responsibility for individual officers for smaller areas
6. Emphasis on a more proactive and preventive orientation, in contrast to the reactive focus that has characterized much of policing under the professional model
7. An increase in positive interactions between officers and the citizens they serve, with a focus on building familiarity, trust, and confidence on both sides
8. A spirit of cooperation and collaboration with the community to build partnerships between police and the citizens they serve (Bureau of Justice Assistance, 1994)
9. A departmental transition from incident-based to problem-oriented policing, seeking customized solutions to specific community problems (Cordner, 2001)

### **School Resource Officers**

Despite the widespread use and popularity of SROs, limited empirical evidence exists on whether SROs are effective agents in reducing school violence. A limited number of studies have attempted to assess (at least in part) the effectiveness of SRO programs. Trump (2001) used data collected from 689 SROs who attended the NASRO national conference in the spring of 2001 and determined that practically all (99%) of the SROs felt that their presence increased school safety; additionally, two in three SROs reported that they had prevented a student or other individual from assaulting a teacher or staff member during their tenure, and over half of the respondents stated that they prevented 11 or more acts of violence during the average school year. Furthermore, the respondents felt that they had good relationships with the administrators at the schools where they worked (sample mean of 4.40 on a 5 point scale).

The Virginia Department of Criminal Justice Services (2001), using content analyses of reports submitted from 78 SRO programs in the state, also determined that SROs were effective in reducing school crime. Over one in three (37.2%) SROs and four in five (82%) staff stated that there had been a reduction in fighting at the school where the SROs served since their arrival; furthermore, 99% of the staff and 91% of the students agreed or strongly agreed that they "... support having a[n] SRO assigned to my school" (VDOCJS, 2001, p. 3).

The Center for Prevention of School Violence (CPSV) in North Carolina also conducted a statewide analysis of the effectiveness of SROs (CPSV, 2001). Evidence from teachers, administrators, students, and discipline data suggested that SROs positively affect school climate; make the school safer; are effective teachers, counselors, and law enforcers; and reduce the number of firearms on school property (CPSV, 2001).

Johnson (1999), in the only article of its kind found in an academic social science journal, examined the impact of an SRO program on school violence and school disciplinary programs in a southern city where she collected data from a number of sources at four high schools and one middle school in 1995-1996. The sources

included ten principals and assistant principals and seven teachers, 18 SROs, researcher observations noted during campus visits, interviews with focus groups of students, weekly incident reports compiled by the SROs, and school disciplinary records. Johnson determined that fighting, gang activity, drug possession, and other minor and major offenses decreased after SROs were assigned to the schools. Additionally, both school administrators and students felt that SROs provided a sense of security and were necessary to reduce the availability of guns, drugs, and gang-related activities. Furthermore, administrators suggested that SROs were a valuable addition to the school when disciplinary problems arose and that their presence alone deterred some students from engaging in unruly behavior. Finally, three in four administrators felt that SROs were very effective (Johnson, 1999).

Nevertheless, the study by Johnson (1999) also uncovered some perceived shortcomings of SROs. Among both teachers and administrators, a small proportion thought that SROs should make themselves more visible to students and assist more in the classroom setting.

The available evidence supports the view that SROs are an effective addition to school safety; however, none of the studies above examined in detail the applicability of community policing to the daily activities of the SRO.

### **Community Policing, Schools, and School Resource Officers**

Schools are often referred to as microcosms of the community in which they are located, and much like the larger community, they are affected by crime, fear of crime, and victimization (Atkinson, 2002). Consequently, if community policing is effective in reducing crime and fear of crime in communities, it should be able to do so in schools as well. In fact, one program (Community Outreach Through Police in Schools) that combines the efforts of law enforcement officers and child clinicians to provide weekly sessions to middle school students has decreased feelings of worry and concern about the future and death and has improved emotional functioning in general of the students who participate in the program (U.S. Department of Justice Office for Victims of Crime, 2003).

Nevertheless, not all research supports the idea that problem-solving is effective in a school setting. Kenney and McNamara (2003) attempted to implement problem-solving strategies at schools in Kentucky using models similar to those of Kenney and Watson (1998). Their results were somewhat discouraging. They determined that the student-based problem-solving models used in the three experimental schools in Kentucky “. . . had little or no effect on student fears or attitudes . . .” (p. 57). Kenney and McNamara argue, however, that this lack of significant impact may have been a result of problems in implementation experienced at the schools, namely resistance from both the school administration and the teachers in implementing the student problem-solving model.

Despite the resistance on the part of some administrators and teachers, however, the number of partnerships between schools and law enforcement agencies has increased dramatically throughout the country (Atkinson, 2002). The most visible of these partnerships is the SRO, typically funded through the Office of Community Oriented Policing Services (COPS) in the U.S. Department of Justice. The COPS

statute (Omnibus Crime Control and Safe Schools Act of 1968, as amended in 1998, Title 1, Part Q) defines an SRO as . . .

. . . a career law enforcement officer, with sworn authority, deployed in community-oriented policing, assigned by the employing police department or agency to work in collaboration with schools and community organizations to: (1) address crime and disorder problems, gangs, and drug activities affecting or occurring in or around an elementary or secondary school, (2) develop or expand crime prevention efforts for students, (3) educate likely school-age victims in crime prevention and safety, (4) develop or expand community justice initiatives for students, (5) train students in conflict resolution, restorative justice, and crime awareness, (6) assist in the identification of physical changes in the environment that may reduce crime in and around the school, and (7) assist in developing school policy that addresses crime and recommended procedural changes. (National School Safety Center, 2000, p. 17)

If SROs are performing their duties as COPS officers, then their duties should consist primarily of those functions listed above. Nevertheless, no empirical assessment of these duties has been performed. Using data from 117 school resource officers in Kentucky, we attempt to determine whether SROs *really are* COPS officers or whether they are some other type of officer.

## **SROs in Kentucky**

The first SRO program in Kentucky began in Jefferson County in 1977. The program has grown rapidly since the mid-1990s due primarily to the availability of grants through the federal Community Oriented Policing Services (COPS) Office in the U.S. Department of Justice.

SROs were first referenced in Kentucky statutes with the passage of the Safe Schools Act in 1998. Kentucky Revised Statute 158.441 defines an SRO as “a sworn law enforcement officer who has specialized training to work with youth at a school site. The officer shall be employed through a contract between a local law enforcement agency and a school district.” The statutory language was extremely important to the development of the SRO program for three reasons: (1) it required SROs to have specialized training, (2) it recognized the importance of having a written contract between the two agencies to clarify the duties of the officer, and (3) it formally recognized SROs as a specialized field of law enforcement. Notably, though, this Kentucky legislation does not make any direct or indirect reference to community policing.

The Kentucky Center for School Safety (KCSS) began in 1998 as a clearinghouse and resource to assist legislators, school administrators, teachers, law enforcement, and parents in reducing school violence in Kentucky. As part of that effort, the KCSS maintains an SRO database to ease communication with SROs about relevant programs and issues that assist them in the performance of their job. In 2002, this database listed 193 SROs in the commonwealth of Kentucky. In most cases, the officers were employees of a city or county law enforcement agency. A few school districts in the state have created their own special law enforcement



districts, and in these cases, the officers are employees of the local boards of education.

## **Data Collection**

In the summer of 2002, in conjunction with the second annual SRO conference in Kentucky, the KCSS conducted the second phase of a panel study examining the attributes of SROs throughout Kentucky. A postcard was mailed to all SROs included in the aforementioned database indicating that a questionnaire would be arriving in 2 weeks. A questionnaire and cover letter explaining the importance of the project were then mailed 2 weeks later. After 3 weeks, a second letter and questionnaire were mailed to those who did not respond to the original questionnaire. A final questionnaire and letter were mailed to nonrespondents 3 weeks later. Of the 193 SROs who received a questionnaire, 119 responses were received (two of which were later deemed unusable) for a response rate of 61.7%. Thus, more than three in five SROs in the state of Kentucky provided data for this report.

The final SRO survey was eight pages long and required approximately 40 minutes to complete. SROs were asked a wide variety of demographic, contextual, and attitudinal questions regarding their perceptions of school safety, their role in school safety, and their impact in increasing safety at the school where they were assigned.

The vast majority of survey respondents (see Table 1) were white (84.6%) and male (84.6%), over the age of 35 (70.9%), and with 6 or more years of law enforcement experience (79.5%). One in three officers had been SROs for only one year, while approximately equal percentages of the remaining SROs had been SROs for 2 years, 3 years, and 4 years or more. Three in four SROs had attended at least some college, with about one in four graduating from college and 7% with some postgraduate education.

## Results

**Table 1**  
**Descriptive Statistics for SRO Sample**

<b>Race</b>	<b>N</b>	<b>Percent of Sample</b>
White	99	84.6
Black	15	12.8
Other	2	1.7
<b>Gender</b>		
Male	99	84.6
Female	18	15.4
<b>Age</b>		
23 to 29	14	12.0
30 to 34	20	17.1
35 to 39	23	19.7
40 to 44	19	16.2
45 to 49	21	17.9
50 to 54	14	12.0
55 and over	6	5.1
<b>Years of Law Enforcement Experience</b>		
1 year or less	3	2.6
2 to 5 years	21	17.9
6 to 10 years	24	20.5
11 to 15 years	20	17.1
16 to 20 years	24	20.5
More than 20 years	25	21.4
<b>Years of SRO Experience</b>		
1 year or less	39	33.3
2 years	21	17.9
3 years	25	21.4
4 years	19	16.2
5 or more years	9	7.7
Missing	4	3.4
<b>Education</b>		
High School Graduate	27	23.1
Some College	52	44.4
College Graduate	30	25.6
Some Postgraduate Education	8	6.8

**Table 2**  
**Respondents' Definition of Their Role as an SRO (N=101)**

	N (%)
TRIAD	32 (31.7)
Role model/school security/teacher	7 (6.9)
Law enforcement/teacher	8 (7.9)
Law enforcement/counselor	10 (9.9)
Ensure school safety	10 (9.9)
Teacher/administrator assistant	5 (5.0)
Law enforcement/disciplinarian	3 (3.0)
Security supervisor	3 (3.0)
Law enforcement	19 (18.8)
Duties not defined by officer	4 (4.0)

Respondents were then asked an open-ended question regarding how they defined their duties and responsibilities as an SRO. For the purpose of this study, we grouped the responses into 9 categories (see Table 2). The results are presented in such a way that those duties that most closely match the “ideal” COPS SRO are listed toward the top of the table, and those that more closely match the role of traditional law enforcement are found toward the bottom of the table. Almost one in three (31.7%) respondents indicated that their role was best defined by the TRIAD, indicating that their role was one-third law enforcement, one-third counseling with students, and one-third delivering law-related educational classes. Almost 7% of the respondents stated that they defined their role as a combination of teacher, role model, and person to ensure school security while a slightly higher percentage (9.9%) stated that their role was to ensure school safety. Conversely, almost one in five (18.8%) respondents indicated that their role was primarily law enforcement, with some variation of the aforementioned roles interspersed in combination for the rest of the respondents. Four respondents did not specifically define their duties and responsibilities.

**Table 3**  
**Distribution of Time of School Resource Officer (N=111)**

	N (%)
More counselor and teacher than law enforcement	20 (18.0)
50% law enforcement/50% counselor and teacher	24 (21.6)
51-69% law enforcement	15 (13.5)
70-99% law enforcement	44 (39.6)
100% law enforcement	8 (7.2)

Respondents were then asked, “How much time do you spend on each of the roles associated with officers who work in schools: law enforcement officer, law-related counselor, and law-related education teaching? When added, your responses should total 100%.” The three possible answers were derived from the aforementioned TRIAD concept; we then categorized the respondents’ answers into the five categories in Table 3. These categories are used to depict

the combined roles of the SRO from a community policing perspective. Two in five (39.6%) respondents indicated that 70 to 90% of their time is spent as a law enforcement officer, and 7.2% said they spent all their time performing law enforcement duties. Over one in five (21.6%) indicated that they spend half their time as a law enforcement officer, and the other half of their time was divided between counseling and teaching students. Almost one in five (18.1%) indicated that they spend more time as a counselor and teacher to the students than a law enforcement officer.

**Table 4**  
**Four Types of SROs Based on Roles and Time Allocation**

Roles	Time Allocation		Row Total
	0-50% LE*	51-100% LE	
TRIAD	15 (46.9)	17 (53.2)	32
Role model/school security/teacher	3 (50.0)	3 (50.0)	6
Law enforcement/teacher	6 (75.0)	2 (25.0)	8
Law enforcement/counselor	6 (66.7)	3 (33.3)	9
Ensure school safety	1 (12.5)	7 (87.5)	8
Teacher/administrator assistant	4 (80.0)	1 (20.0)	5
Law enforcement/disciplinarian	1 (33.3)	2 (66.6)	3
Security supervisor	0 (0.0)	2 (100.0)	2
Law enforcement	4 (23.5)	13 (76.5)	17
Duties not defined by officer	1 (25.0)	3 (75.0)	4

\*LE = law enforcement

Table 4 combines the responses presented in Tables 2 and 3, contrasting officers' role conceptions with how they say they actually spend their time. The first category of officers, hereafter referred to as "COPS SROs," consists of the officers who both define their role as primarily TRIAD or some version of law enforcement/counselor or law enforcement/teacher and actually spend at least half of their time performing counselor/teacher duties. About one-third of the officers fit the COPS SRO category. A second group of officers, hereafter referred to as "Willing COPS SROs," define their role as primarily TRIAD or some version of law enforcement/counselor or law enforcement/teacher but actually spend more than half of their time performing law enforcement duties. About one-quarter fit the Willing COPS SRO typology. The third category of officers, hereafter referred to as "Unwilling COPS SROs," define their role as primarily law enforcement/school safety enforcer yet spend at least half of their time performing counselor/teacher duties. By that definition, 11 officers (11.7%) fit the Unwilling COPS SRO category. Finally, a fourth group of officers, hereafter referred to as "Traditional Law Enforcement SROs," define their role as primarily law enforcement/school safety enforcer and actually spend at least half of their time performing law enforcement duties. By that definition, 28 officers (29.8%) fit the Traditional Law Enforcement SRO typology.

In sum, one in three officers in the sample arguably are COPS SROs, while slightly over one in four SROs have aspirations of being a COPS SRO, but their daily activities are primarily law enforcement. Just over one in ten officers aspire to a

more traditional law enforcement role as an SRO but mainly engage in COPS duties, while almost one in three officers aspire to be traditional law enforcement SROs and actually engage in mostly law enforcement duties in their role as an SRO.

**Table 5**  
**School Resource Officer Daily Activities\***

<b>SRO Activity</b>	<b>Daily</b>	<b>Weekly - Monthly</b>	<b>Never</b>
Monitor parking areas	91 (83.5)	6 (5.5)	12 (11.0)
Monitor lunchroom activities	84 (77.1)	17 (15.6)	8 (7.3)
Clear hallways	66 (60.6)	22 (20.1)	21 (19.3)
Counsel students	56 (51.4)	49 (44.9)	4 (3.7)
Assist teachers with maintaining classroom order	20 (18.3)	64 (58.7)	25 (22.9)
Write tardy slips	8 (7.3)	15 (13.8)	86 (78.9)
Teach classes	7 (6.4)	77 (70.6)	25 (22.9)
Transport suspended students home	6 (5.5)	55 (50.4)	48 (44.0)
Search students not under arrest	5 (4.6)	53 (48.5)	51 (46.8)
Break up fighting students	4 (3.7)	83 (76.2)	22 (20.2)

\* Only nonmissing responses are included, and percentage totals do not equal 100% due to rounding.

The results presented in Table 5 reflect responses to a series of questions asking the officers how often they performed a number of specific activities at their assigned school. More than three in four SROs indicated that monitoring parking areas and monitoring lunchroom activities were the duties performed most often on a daily basis. Clearing hallways (60.6%) and counseling students (51.4%) were also identified by the majority of the SROs as part of their daily activities at the school. At the other end of the spectrum, three-quarters indicated that they never wrote tardy slips, and nearly one-half said they never searched students not under arrest or transported suspended students home. Three-quarters reported that they broke up fights and taught classes at least monthly.

**Table 6**  
**Comparison of Principal and SRO Responses Regarding Changes**  
**in Problem Behaviors at School Since SRO Program Began\***

Safety Issue at School	Decreased		Stayed the Same		Increased	
	Principals	SROs	Principals	SROs	Principals	SROs
Fighting	62.6	63.6	34.3	24.2	3.1	12.1
Marijuana	46.9	49.5	51.0	30.3	2.1	20.2
Theft	45.4	56.7	51.5	25.8	3.1	17.5
Knife Possession	33.7	65.6	65.1	22.9	1.2	11.5
Bomb Threats	30.1	69.7	67.7	25.8	2.2	4.5
Other Weapon Possession	27.7	66.3	71.3	31.4	1.1	2.3
Illicit Sexual Behavior	26.9	51.8	69.9	36.1	3.2	12.0
Gambling	23.9	56.4	70.4	42.3	6.1	1.3
Dress Code Violations	23.5	39.3	75.0	35.7	1.1	25.0
Methamphetamine	22.5	53.5	76.9	39.4	1.1	7.0
Arson	22.0	59.7	75.3	37.5	2.2	2.8
Handgun Possession	20.9	55.0	71.3	43.8	0	1.3
Other Weapon Use	20.7	67.9	78.2	29.6	1.1	2.5
Cocaine	21.1	54.7	77.8	40.0	1.1	5.3
Knife Use	18.3	61.8	80.6	36.8	1.1	1.3
Handgun Use	13.0	51.4	85.9	47.2	1.1	1.4

\* Only nonmissing responses are included, and percentage totals do not equal 100% due to rounding.

The aforementioned results clearly reflect that the SROs in this sample were active in a wide variety of capacities in assisting administrators in maintaining school safety. Nevertheless, there was some disagreement between these administrators and the SROs regarding how effective the SROs actually were in reducing problem behaviors at schools. Using data collected from 128 principals at the schools where SROs were assigned (see May, Fessel, & Means, 2003, for discussion of methodology), the results presented in Table 6 reflect that, with the exception of arson and dress code violations, at least half of the SROs felt that they had decreased the amount of those problem behaviors since the program began. Among the principals, however, only for fighting did over half the sample feel that the SRO program had reduced the behavior since its inception. For both fighting and marijuana, the percentage of principals and SROs who thought that the SRO program had reduced that problem behavior were approximately equal; for practically all the other behaviors, twice as many SROs as principals felt that the SRO program had decreased the problem behavior in question. Encouragingly, principals were also far less likely to state that problem behaviors had increased than were SROs (see fighting, marijuana, and dress code violations, for example). Thus, it appears that even though SROs and principals may be working on the same problems in the same schools, communication between the two groups needs to be improved to make the SRO a more effective tool to use in increasing school safety in Kentucky schools.

## Discussion

The results presented above reveal a number of interesting findings that have implications for the idea that SROs are an extension of community policing practiced on school grounds. First and foremost, at least in Kentucky, over half of the SROs

define their SRO role as one that would flow from the NASRO/COPS model—in other words, part law enforcement, part counselor, and part teacher. Nevertheless, two in five SROs define their role as more traditional law enforcement. This may be due, at least in part, to the statutory definition of an SRO in Kentucky, which makes no mention of the community police officer concept.

The findings from this study further reveal that just over one-third (39.6%; see Table 3) of the SROs are arguably practicing community policing in their role as an SRO. In other words, more than one in three officers are spending at least half their time counseling students and teaching classes in addition to performing their law enforcement duties. Nevertheless, the findings from this study also suggest that almost two in three officers spend most of their time practicing more traditional law enforcement duties, a finding not consistent with the NASRO/COPS model.

The interaction between SROs' conceptions of their role and how they actually spend their time paints an even less rosy picture. Less than one-third of SROs both embrace the COP role and spend at least half their time as counselor and teacher. This is the group that is both willing to do COP and actually doing it. Another 25% must be somewhat frustrated because they indicate a willingness to do COP but actually spend over half of their time on more traditional law enforcement duties. An additional 10% are probably also frustrated, as they profess an enforcement orientation but spend the majority of their time doing counseling and teaching—it is likely that they perform these COP or TRIAD duties half-heartedly, since their interest is more in enforcement. Finally, one in four SROs must be fairly happy, since they subscribe to enforcement and spend the majority of their time doing just that. This group does not even pretend to embrace TRIAD or COP.

One explanation for these discrepancies, however, may be found in the data on officers' actual duties at the school. For example, the top two daily activities were monitoring the parking area and monitoring the cafeteria. These two activities are analogous to the patrolling that "regular" police officers perform (and typically also constitute a substantial amount of their time). While certainly a traditional activity, monitoring or patrolling can be motivated and carried out in different ways. For example, it can be done as watching for violations, in which case it is enforcement-oriented and might be characterized by a distant, aloof, monitoring persona or by a more active, aggressive, interventionist style. The same activity, though (monitoring or patrolling), might be accomplished through positive interaction with the public (students) in the form of ordinary conversation, persuasion, and informal counseling. It is quite possible that many officers are using this monitoring time to talk to students, teachers, and staff and build the relationships that are so essential to effective community policing. Thus, even among those officers who define their role as traditional law enforcement or who report that most of their time is devoted to enforcement, many may be engaging in activities quite consistent with community policing and even TRIAD.

Nevertheless, the findings from this study also reveal that there is work to be done in Kentucky before all SROs engage in community policing. The typology developed in Table 4 reveals that a substantial minority of the SROs in Kentucky (29.8%) consider themselves traditional law enforcement SROs and spend most of their time engaged in traditional law enforcement duties while an additional one in ten consider themselves traditional law enforcement officers but spend the majority of

their time on counseling and teaching duties. Consequently, it appears that, at least in Kentucky, if community policing in schools is the model that is desired, more effort needs to be given to socializing officers who go into SRO roles as community police officers in a school setting. SROs should be taught that practically every activity they engage in might be one in which they practice community policing. SROs should be taught the following:

- In the hallways, SROs should build relationships with students while still performing their monitoring duties.
- In the cafeteria, SROs can talk to cafeteria staff, teachers, and students about school safety and how each of these groups can assist them in their role in ensuring school safety.
- An SRO can be a tremendous tool in creating a “positive reporting climate,” a climate that so often leads to preventing crimes, particularly serious crimes before they occur.

An additional COP-related activity that does not seem to have caught on in many Kentucky schools is school-based problem-solving (Kenney & McNamara, 2003; Kenney & Watson, 1998). The picture that emerges from this study is one in which some SROs engage in positive interaction, develop partnerships, and embrace the nontraditional functions of teaching and counseling. There is little if any indication, however, that SROs are working collaboratively with students, teachers, staff, and parents to identify, analyze, and respond to the chronic problems and conditions in and around their schools that give rise to crime, disorder, and fear. In other words, Kentucky SROs do not seem to have integrated the community policing element of problem solving into their roles and duties.

Those SROs who have adopted an Officer Friendly role or teacher/counselor role clearly have some sense of community policing, but it is a limited and ultimately ineffective understanding of the concept unless it is supplemented by problem solving (Goldstein, 1987; Goldstein, 1990). Without problem solving, community policing tends to be all form and no substance. Also, without problem solving, SROs will always turn to enforcement when confronted with crime and serious disorder issues. Problem solving is the operational component of community policing that leads to a more substantive, proactive, and preventive approach to crime and disorder. Nationally and in Kentucky, it would seem to be the key ingredient missing in the school resource officer phenomenon.

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