How to Assess and Improve Operations of Small Law Enforcement Agencies
The contents of this training guide were originally presented at the International Association of Chiefs of Police Annual Conference in San Diego in October 2016. The views expressed here are those of the author, and do not necessarily represent the opinions of the U.S. Department of Justice, National Institute of Justice.

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The Value of Assessing An Agency

The purpose of this training guide is to provide a framework of the areas that need to be reviewed and the indicators to look for that might indicate a problem. It will also provide practical tips on how to improve each functional area.

Agency executives need to have a system in which they can review critical department functions on a regular basis. Failing to provide leadership and management in any organization will clearly result in not only diminished effectiveness but also a high likelihood of catastrophic failure. Often times, police executives provide leadership but fail to manage, and eventually, the organization suffers. A successful police executive can both lead and manage.

Conducting various assessments of an agency is critical. Police executives and managers often fail to conduct operational assessments on a regular basis, and this failure results in a lack of direction and a lack of focus on areas that need improvement. Not only is it important to conduct periodic assessments of an agency, it is also critical to ensure that the data is safeguarded and readily retrievable. It is also advisable to keep redundant files. I have encountered many instances in departments where I have conducted management audits where performance data, assessment information and operational data is missing, incomplete or contradictory with other information.

Information in the categories listed in this training guide should, at a minimum, be collected and compared with the previous years’ data.

This guide addresses:

- The Value of Assessing An Agency
- Assessing Agency Operations
- Assessing Community Policing
- Assessing Crime Prevention
- Assessing Crime Analysis
- Assessing Agency Training
- Assessing the Professional Standards Function
- Assessing Strategic Planning in the Department
- Assessing Department Feedback Systems
- Assessing Department Administration
- Critical Event Management
- Leadership Focus Areas
- Management and Leadership Are Both Critical for Success
- How to Improve Community Service
- Succession Planning
Assessing Agency Operations

When conducting an assessment of an agency, the chief must be thorough and look at a multitude of data as well as an internal and external programs and initiatives. This is clearly a situation where data needs to be compared, and at times, a footnote added to explain extreme deviations. As an example, overtime has increased and traffic citations have decreased. This may be indicative of a staffing shortage and/or a dramatic increase in calls for service.

Examples of Traditional Basic Performance Measures Often Cited for Public Review

**Calls for Service.** The number of citizen-generated requests for police service.

**Crime Data.** A complete listing of not only major crimes, but also quality of life crimes, as well as any crimes that may be the focus of special enforcement during the year.

**Clearance Rates.** The percentage of crimes solved or exceptionally cleared.

**Arrest Rates.** The number of adult and juvenile arrests.

**Citations.** The number of traffic citations, warning citations and criminal citations.

**Response Time.** The amount of time for the police to respond to both an emergency call for service and a routine call for service.

**Motor Vehicle Crashes.** Number of motor vehicle accidents

Examples of Non-Traditional Performance Measures Often Cited for Public Review

**Contact Surveys.** Using pre-addressed and postage-paid envelopes, officers can hand survey instruments to people with whom they come into contact.

**Citizen Complaints.** Thorough and complete accounting of citizen complaints is essential. All citizen complaints should be categorized correctly and periodically reviewed to identify trends with certain employees, certain shift supervisors and the nature of the complaints.

Each agency will have to determine the extent to which the above data appears in an annual report to the public.
Assessing Community Policing

Community policing is extremely effective in jurisdictions of all sizes, and it is particularly effective in smaller jurisdictions. In fact, by contemporary standards, community policing is expected in smaller jurisdictions today. A good working definition of community policing is that it is both a philosophy and an organizational strategy that allows the police and community residents to work closely together in new ways to prevent crime and solve the problems of crime, while working together toward the reduction of the fear of crime, and minimizing physical and social disorder and neighborhood decay.

An assessment of community policing in a small agency should include the following questions:

◆ Is the chief active in various community associations?
◆ Is he/she visible in the community?
◆ Do officers join him/her at these events?
◆ Is the department apart from the community or is it a part of the community?
◆ To what degree is the department involved in key community organizations? These may include:
  – The local school district
  – Local business owners associations
  – Youth groups, such as the Boys and Girls Club
  – The faith-based community
  – Homeowners associations
  – Bar owner groups
  – Neighborhood watch
  – A robbery and fraud prevention group for the community financial businesses

Community policing starts at the top of the organization and filters downward. It is critical that the chief model this behavior. Managers and supervisors should see the chief’s efforts and be held accountable for further penetrating the community with community policing initiatives.

Community policing efforts should be regularly assessed at all levels of the agency. Performance evaluations should have specific sections to evaluate department members on their community policing efforts and results.

MANAGEMENT TIP. Community surveys can be done by professional companies and be costly, or they could be done by telephone by college interns at no cost. Community surveys can also be done by sending a survey to crime victims in the mail or via email. Large areas of the city can be surveyed through water bills, with the return survey color-coded to reflect certain geographic areas of the city. Survey data can be used to assess fear of crime, respect for the police, perceived effectiveness of the police, etc.

MANAGEMENT TIP. Have a display in the police department lobby with surveys for people seeking police service to take with them and return.

MANAGEMENT TIP. Publish the number of complaints in relationship to the number of calls for service plus officer-initiated activities plus walk-in citizens at the front desk plus phone calls. It is not unusual for small law enforcement agencies to have but a few citizen-generated complaints a year in comparison to agencies with 50,000 citizen contacts.

MANAGEMENT TIP. Always conduct follow-up training for involved employees on any sustained citizen complaint.

MANAGEMENT TIP. The Coffee with a Cop program is an excellent way to meet the community and learn of any community concerns.

MANAGEMENT TIP. The seven P’s of community policing should always be reinforced:
  ◆ Prevention
  ◆ Problem Solving
  ◆ Proactive
  ◆ Permanent
  ◆ Personalized
  ◆ Professional
  ◆ Partnerships
Assessing Crime Prevention

**Does the agency have an active crime prevention program?**

The value of an active crime prevention program is immense. Some of the benefits of a proactive crime prevention program, in addition to reducing crime, are the partnerships that are formed and the positive networking that occurs. Many departments consider crime prevention a responsibility of all police department employees. While this is true, a dedicated crime prevention specialist on staff is a valuable addition to any agency. In small agencies, this could even be a part-time position or assignment.

The crime prevention specialist often becomes the face of the department in the community. Next to the chief, this person is often the most visible police department employee in the community. Selection of the right person for this position is critical.

The department crime prevention specialist should have active partnerships with the senior citizen groups in the community as they are often victims of scams, the financial community, youth groups, homeowner associations, residential apartment groups and the business community. The crime prevention specialist should work closely with the department’s Victim Advocates and the School Resource Officer(s).

Enhanced Crime Prevention is a new approach wherein a crime prevention specialist becomes aware of pattern crimes, and through social media, neighborhood watch contacts, community fliers and even U.S. mail, notifies neighborhood residents that they may become victimized in the near future.

Assessing Crime Analysis

**Does the agency have a crime analysis capability?**

Crime prevention is a critical component in making an agency efficient and effective at combating crime. Even in small law enforcement agencies, this is a needed program. For small agencies, the difficulty lies in how to budget for this program.

From a practical perspective, there are several cost-effective ways to accomplish this, including:

- Contracting with a crime analysis provider. There are at least two different companies that can provide this service.
- Hiring a part-time or full-time employee to conduct crime analysis. For most small law enforcement agencies, a part-time employee is able to accomplish this task.
- Developing an internship program with a local college in which criminal justice students could serve an internship with the police department and perform basic crime analysis duties.
Training a department member in the crime analysis function and assigning it as a secondary duty.

Developing a crime analysis capability with agencies that are in close proximity and sharing the cost.

After a crime analysis program is implemented, a key aspect of the initiative is how the data is shared within the department. Steps should be taken to ensure that crime analysis information is provided to all department members. It should be made available to all patrol officers at each roll call briefing as well as to detectives and command staff. Another feature is accountability. Supervisors and managers should ensure that the information is reviewed and acted on, and results archived. Otherwise, crime analysis efforts are wasted.

Assessing Agency Training

A well-thought out training plan is essential for a modern police department. Small law enforcement agencies are no exception. Training plans should not only comply with the minimum standards that the state Peace Officer Standards and Training Board mandates, but in addition, provide training in contemporary topics to include de-escalation, dealing with the mentally ill, respectful policing, restorative justice, diversity and cultural tolerance.

Two emerging areas of liability that require training are tactical supervision and off-duty armed encounters.

Tactical supervision is the immediate supervision/support that is a needed resource by the patrol sergeant on the scene of an unfolding tactical event. Situations involving the need for tactical supervision are often chaotic and confusing, and are becoming more prevalent. If proper supervision is not exercised at the onset of these events, the results can be disastrous.

Training for off-duty armed encounters is necessary for the safety of the officer and for liability protection for the agency. What is expected of off-duty officers if they find themselves in the middle of an armed robbery or mass casualty event? Does the agency provide policy and training for this scenario?

The agency should meet all relevant state accreditation standards in the area of training and, if applicable, all Commission on Accreditation for Law Enforcement (CALEA) standards in the area of training. A key aspect to any well-thought out training plan is documentation and the keeping of accurate and retrievable training records.

One of the most critical aspects of developing an excellent training plan is to create a group of instructors in each skill area. It is not advisable to have only one instructor in any one area if it at all can be avoided.
Conduct an annual survey of all department members in December to determine what training both sworn and non-sworn employees believe they need. Management should try to incorporate these needs into the overall annual training plan, if feasible.

In addition to ongoing in-service training, there should be specialized training schools for selected officers based on agency needs. Such training is not only critical for specialized assignments, but will also improve agency morale.

The agency’s Field Training Officer (FTO) program should also be reviewed by the training unit to ensure that it is current. Many small agencies are experimenting with developing what is known as a “mini-academy.” These mini-academies often last four to six weeks and are scheduled after basic academy training and before the FTO program. Mini-academies familiarize new officers with the agency way of doing things and the daily functions of being its employee. They are an excellent way to make the FTO program more effective by allowing it to focus more on police-related training.

Another key is the development of supervisory and management training. All supervisors should be, at a minimum, graduates of a basic supervisory school, with training from more advanced supervisory schools as their careers advance. Management staff should attend training classes that focus on the skills needed for their jobs. In addition to the FBI National Academy, several other major law enforcement training programs accomplish this.

A mistake often made by small departments is ignoring the training needs of non-sworn staff. These employees are responsible for many very important functions and their skill level must also remain high.

Assessing the Professional Standards Function

All law enforcement agencies are accountable to the public that they serve. We must always strive to ensure that we provide the most professional, ethical service possible. An agency should have a policy in place on how a citizen complaint is received, processed, investigated and adjudicated. There are numerous sample policies that illustrate this. When a law enforcement agency receives citizen complaints, they must be investigated by a well-trained investigator assigned to the Professional Standards Unit (PSU). The investigator should be, at a minimum, a sworn supervisor in the department, but in small agencies, he/she will likely have a primary duty other than PSU investigations. The chief should take great care in assigning this function. The investigator should be a trusted supervisor or manager who can keep information confidential and conduct thorough investigations. He/she should also be someone who is well respected within the department.
The on-duty supervisor should meet with the citizen complainant and receive the complaint. Intake should be on a department form specifically designed for this process, which should be forwarded directly to the chief. The chief should review the complaint and classify it either as a formal complaint, an informal complaint or a supervisory review. Supervisory reviews are sent to the subject officer’s immediate supervisor for investigation, whereas informal and formal complaints go to the PSU for investigation. Unless the investigation has to do with an allegation of ongoing misconduct, the subject officer should receive a copy of the complaint when the investigation is assigned to the PSU.

All records connected to PSU investigations should be kept under lock and key in a secured location. Access to these files should be limited and records kept of who accessed these files and why. At the end of the year, the chief should publish data from the PSU relative to the number of citizen complaints and investigative findings. However, no employee names should be released.

An innovative program to consider is Education Based Discipline (EBD) (shq.lasdnews.net/pages/highlights.aspx) for sustained minor violations of department policy. In lieu of a suspension without pay, this new approach requires employees to write a five-page paper detailing what they did wrong and what they should have done.

Although it is critically important to have a strong Professional Standards Program, it is also important to try to prevent misconduct. Good supervisors, an ethical climate, contemporary training and a professional staff go a long way toward preventing misconduct, but an Early Warning System (EWS) is also recommended. This system is designed to prevent individual and collective misconduct at an early stage. EWS can be easy to implement in small agencies and requires about two hours a year to administer. All department supervisors meet every six months and review each employee’s performance in key areas. If there are a number of triggering events, usually three (this number is set by each individual agency), a review process is initiated. The officer’s immediate supervisor asks the officer if there are any outside issues affecting performance (e.g., personal problems, family issues, lack of training). Based on the findings, the officer may be counseled formally or informally, or referred for a fitness for duty evaluation, if necessary. A familiar EWS has 18 categories for review:

- Allegations of misconduct
- Use of force
- Preventable vehicle accidents
- Civil litigation
- Notices of intent to sue
- Abuse of sick leave
- Habitual tardiness
- Ongoing poor performance
- Inability to work with others
- Unusual behavior
- Excessive injured time
- A large number of discretionary arrests
- Incidents of workplace violence
- Being the subject of a criminal investigation
- Garnishment of wages
- Being the subject of a restraining order
- Reports of prisoner problems or complaints
- Unusual traffic and/or pedestrian stop data

**MANAGEMENT TIP.** The chief should never be the PSU investigator. The chief must adjudicate and, if applicable, recommend discipline. He/she cannot be both the investigator and the adjudicator of the incident.

**MANAGEMENT TIP.** All management levels need to be informed of the complaint process. After the chief receives, classifies and assigns the complaint, he/she should make a copy and send this to the subject officer’s immediate supervisor and commander in a sealed envelope marked “confidential.” This takes place at the same time as the complaint is assigned to PSU and the subject officer receives a copy, thus showing true transparency (in a confidential manner) to all involved.

**MANAGEMENT TIP.** Always include a training plan when an employee is disciplined as a result of misconduct.
Assessing Strategic Planning in the Department

A strategic plan is a written roadmap for the future of the agency. It should address the future challenges that face the community and the police department, and is often developed for three to five years in the future. The longer the timeframe, the more nebulous the plan becomes. The strategic plan should include innovative approaches to address the challenges of the future, as well as include current and future demographic data on the community, information on growth in the community, crime rates, social issues that might impact the police department, crime trends, traffic and accident data as well as any other issues unique to the community.

Strategic plans should:

◆ Be reviewed with staff quarterly.
◆ Be updated annually.
◆ Include Specific, Measurable, Attainable, Relevant and Timely (SMART) goals.

All members of the department should have input into development. After the strategic plan is completed, all members of the department should receive a copy. Agency supervisors and managers should periodically (at least quarterly) review the plan and chart progress.

When developing the strategic plan, think about having an off-site retreat style meeting with the police department supervisory and management staff. Some examples of low-cost or no-cost venues that provide a break away from the police station include airport corporate offices, school conference centers, corporate conference rooms, hotel meeting rooms or even tourist venues with a conference center.

A retreat day is also an excellent way to incorporate management training. An example might be: The first half of the day includes a discussion of what the future of the community and the department looks like, a presentation by a local university professor on changes the university envisions and/or a presentation by the city manager and human resources manager. A working lunch is followed by an afternoon that might include a discussion on how we respond to these changes, the setting of realistic goals and a commitment to stay the course to accomplish the goals.

The strategic plan should include goals for all areas of the department: patrol, investigations, administration and support functions. The strategic plan should address contemporary issues that all law enforcement agencies are facing on a national level as well as local challenges, and should be written in a professional format. The strategic plan is a public document and as such, should be written as a positive reflection on both the
Assessing Department Feedback Systems

The chief and his/her staff need to have both formal and informal community and department feedback systems to receive unfiltered information about perceptions in the community and in the department about various agency initiatives. If these feedback systems are not in place or not used to their fullest, they may not be aware of positive or negative feedback. Not knowing how the agency is doing can have serious consequences and can even be career threatening.

There are several ways to both get the message out to the community and to get feedback. One such method is a citizens’ advisory panel, which is a panel of community leaders that can help with this effort. The chief should also be a visible and accessible community leader who sends out a consistent message and who is open to feedback.

An alliance with the faith-based community is another excellent way to send and receive feedback. Other community groups that can help with this effort include service clubs, grassroots community groups, homeowners associations, and various community and business groups. The chief and/or his/her designee should be active in all of these groups.

A formal community survey will also provide excellent feedback and will serve as a benchmark for future data collection. Even a suggestion box in the lobby could work for the public, and one inside the police building for employee input is a good idea.

Inside the police department, it is very important to know how the employees perceive not only management, but also the effectiveness of department programs. Accurate internal feedback can be obtained through an Employee Advisory Committee (EAC), which is made up of a representative from each shift and each non-sworn group. This group meets with the chief monthly to provide unfiltered internal feedback. Another method of obtaining internal feedback is to conduct annual focus panels with informal department leaders. It is important to know and respect these informal leaders, who can provide input on a variety of issues. They are a department resource that should be consulted on a regular basis.

Having open and productive staff meetings also encourages not only an open dialogue, but also honest feedback. Staff meetings need to be conducted in a professional and respectful manner. A free flow of ideas is the goal.
Assessing Department Administration

The role of the chief in a small law enforcement agency is often misunderstood. Is it the chief's role to be another officer on patrol or to devote the vast majority of his/her time to leadership? The answer lies in the size of the department. Generally, in agencies of 10 officers or less, the chief is a working chief who actually works patrol but still provides management and leadership. In agencies of more than 10 officers, the chief generally is more of an administrator.

Obviously, the role of the chief is a critical function in the department regardless of its size. The chief is responsible for setting the philosophy, direction and tone of the department, and establishing priorities. The chief is also directly responsible for:

- Policy formulation
- Day-to-day business affairs
- Grant management
- Representing the agency in the community
- Relationships with other law enforcement agencies
- Review of all performance evaluations
- City Hall updates
- Media relationships
- Overseeing management of the evidence and property units
- Supervision of senior commanders
- Management of department resources
- Budgeting
- Planning
- Recruitment and selection of personnel
- Development of a multi-year plan
- Agency morale
- Management of the Internal Affairs function
- Relationships with the police union and/or association
- Equipment purchases

It is very important for the chief to be able to understand the differences between management and leadership, although both are critical for success.

Chiefs manage things (equipment and programs) and lead people (members of the department, supervisors and managers).
The chief’s office can be a very busy and chaotic place where projects can become lost and actually forgotten about over time. This can be a serious mistake that can affect not only the effective administration of the department, but also the chief’s reputation and effectiveness. At the same time, the chief must be able to effectively delegate assignments, projects and other duties.

The chief should regularly review the productivity of the department’s administrative functions. After this review, adjustments can be made to ensure maximum effectiveness, efficiency and productivity. If the chief is not regularly reviewing the administrative functions of the department, he/she should be cognizant that outside entities may be reviewing the administrative functions for issues.

**Critical Event Management**

Every community is involved in critical event management. These events range from the local community hometown parade to visits by national politicians and everything in between. The department should keep accurate records on past major events of the same type that show the number of staff hours involved, equipment costs, enforcement results, past contact information and any problems associated with the event. Management of these events is the responsibility of the entire command staff in small law enforcement agencies.

The use of social media relative to major event management is an effective way to ensure that the community is made aware of the event, any traffic disruptions and any significant issues that occur during the event. The department’s social media specialist should be able to log onto social media sites immediately during the major event if necessary.

It is also of critical importance to keep allied law enforcement agencies aware of all aspects of the event in case mutual aid is needed. It is always a good idea to share the department’s operation plans with adjoining agencies. If assistance is needed, it should be agreed on before the event. Critical event management planning should include plans to deal with various scenarios that might occur, even unlikely ones.

All officers should be trained on the signs that a terrorism-related event may be planned during the hometown event. Any size community anywhere in the United States could be at risk today.

After a major event, an after-action meeting should take place to determine what went well and where improvement might be needed. Careful records should be kept so that continuous improvement can occur. These records should include the names of personnel involved, their assignments and all cost data.

**MANAGEMENT TIP.** All command staff should be a part of major event planning. If someone becomes ill or has a last-minute emergency that does not allow them to participate, this could cause a major issue. The agency needs to have as deep a bench as possible from which to draw supervisors and/or managers to ensure a safe and smooth event.

**MANAGEMENT TIP.** Critical event management requires that police administrators consider the possibility of terrorism. Conducting protective sweeps are now the norm along with creating a detailed list of state and federal contacts in case of a terrorism-related event. Many small agencies are now assigning plainclothes officers to be in the crowd of major local events to act as extra sets of eyes.

**MANAGEMENT TIP.** A new trend in some jurisdictions is to charge the sponsoring entity for the costs of extra police response.
Leadership Focus Areas

Chiefs in small law enforcement areas need to have a common core of leadership focus areas. These are areas that will always remain a constant in the agency, areas that the agency leadership will always stay focused on or come back to when leadership challenges arise. In other words, these focus areas stand the test of time and are universal across the country. The leadership focus areas listed below are critical for success, and failure at any one of them can not only cripple an agency, but also have the strong possibility of ending the chief’s career at that agency.

As these areas are reviewed in subsequent sections, assess how these leadership focus areas are being addressed in your agency. If any of them are truly unheard of in your agency, I would recommend a serious review and development of a plan to introduce them.

Developing and Maintaining an Ethical Environment

It is absolutely critical that the chief develop and maintain an ethical environment. A strong ethics training program and a robust reinforcement of ethics will prevent numerous department problems to include misconduct, a poor public image and poor recruitment. The question becomes how to do that in the most effective way possible. Some proven techniques include:

- Maintaining a strong ethical environment, starting at the top. The chief and command staff must model ethical behavior (on and off duty).
- The department should have certified ethics instructors and an annual in-service program that reviews the importance of ethics and how to deal with ethical dilemmas.
- Taking advantage of teachable moments when there is a question involving ethics or when there is an ethical failure.
- Creating an open system that allows employees to ask questions and request a clarification on situations involving ethics before they act.
- Training employees at all levels in the organization, encouraging them and requiring them to treat each other with respect at all times.
- Engaging the adult in the workplace. There is no place for inappropriate conduct or horseplay by supervisors and managers.

The chief should be extremely careful in department social situations where there is the possibility that alcohol may be involved, e.g. department outings, holiday parties and union activities. Inappropriate conduct by the chief can be a career-ending event.

It is an excellent leadership practice to periodically address ethical scenarios in staff meetings so that all supervisors and managers have heard the same message on how to respond to specific ethical situations. Supervisors can then repeat this exercise with their subordinates.
A Philosophy of Continued Improvement

Effective police managers will always continuously improve the agency, the staff and their own leadership skills. The concept of continuous improvement should be driven from the top down. The chief needs to be the driving force of this effort.

A formal internal critical review of agency effectiveness needs to occur at various points in the administration of the department. These formal reviews are recommended every two years at a minimum, whereas an informal review is recommended in the years when the formal review does not occur. In agencies with adequate staffing, a formal review every year is a better standard. This data is mostly for internal use and is usually more detailed than the data accumulated for the public cited earlier in this report (although some might be repetitive). The review should consist of the standard metrics used in contemporary policing listed earlier and the more detailed information listed below:

- Calls for service (include the top 10 hotspots)
- Number of police reports (and the time to write the reports)
- Officer self-initiated activities (the most common officer-initiated activities)
- Crime rates (and if known, why certain crimes are increasing)
- Clearance rates (and what can be done to improve them)
- Arrests (adults and juveniles)
- Detailed use of force data
- Traffic accident data (the top 10 accident locations)
- Citations (the most often listed violations)
- Response times (emergency and non-emergency)
- Lawsuits (especially when there is a settlement)
- EWS results
- Internal affairs data (citizen and internal complaints on employees, the supervisor on duty and whether there is a pattern with the supervisor)
- Personnel data (number of staff, promotions, demotions, suspension days, grievances, union issues)
- Educational level of members of the agency (increasing or stagnant)
- Equipment Inventory (and an assessment of damaged equipment)
- Overtime usage (listed by category)
- Budget data
- Training hours (whether officers are in compliance with P.O.S.T. training requirements)
- Sick leave rates (especially when sick days are used in conjunction with regular days off)
- Number of injured employees and number of hours off injured
- Community survey relative to fear of crime and where in the community fear is rated at the highest level
Community policing initiatives (both successful and those with minimal impact)
Field contact stop data in relation to the racial make-up of the community
Formalized succession planning efforts

An internal comparison of the 22 categories of data above from year to year and over a period of time can be an excellent snapshot of performance-related information. Each agency will need to determine how much of the above information should be in the annual report that is available for the public and which categories are for internal use only.

The above relates to items that can be inventoried, counted and easily compared. The next area to be assessed in relation to “A Philosophy of Continuous Improvement” is much more difficult to compare from year to year and clearly should be for internal use only.

This category includes a review of:

- Maturation of personnel professionally in their current positions.
- An honest assessment of internal candidates who are promotable and then providing training and career guidance for future positions of more responsibility in the agency.
- An assessment of morale; that is, how employees feel about their training, equipment, supervision, management and the chief?
- Do employees have a voice in the agency?
- Direct observation: What are the observations of staff by supervisors and managers? Do they always try to “catch employees doing the right things?”

Failure analysis. Many agencies suffering from serious management failures and/or catastrophic management failures will hire a company to conduct a management study of the agency and to make recommendations for improvement. These agencies will often place these studies on their home page for the community to read. Since these studies are in the public domain, they can be read and studied by other agencies as a way to prevent the same things from happening at their departments. If the management team in a department studies the failures of another similarly sized agency, there is a good chance that this type of failure can be avoided.

Leader behavior. Are the leaders (supervisors, managers, executives) of the organization acting as role models or are they just going through the motions or are they involved in misconduct? Organizational leaders should always model the behavior that is expected in the agency.

Command officer training. An area of continuous improvement that is often overlooked is the concept of advanced training for command officers. Small agencies sometimes focus primarily on line level training at the expense of command officers’ not attending training. Command officers need to be well trained in contemporary policing to be able to lead their departments. Unfortunately, these training courses can be expensive, but they are well worth the cost.
Chief executive officer training. It is also critically important for the chief to continuously improve his/her skills. Executive-level training is time and money well spent. Attendance at state and national conferences will keep the chief informed about contemporary issues and responses to these challenges.

A five-year review should show demonstrable improvement by the agency in many categories. If this is not the case, then something may be wrong in the areas of leadership, available resources or changing community demographics (e.g., unable to provide adequate police service to a community experiencing massive population growth).

Liability Reduction

Always trying to reduce liability exposure should be a goal for all agencies. Liability is an area that should be reviewed on a regular basis. There are multiple areas in small law enforcement agencies that are often associated with liability exposure. These include:

- Off-duty conduct
- Sexual harassment/discrimination
- Selection/hiring
- Promotions
- Training (or failure to train)
- Internal affairs
- Special Operations (SWAT and crisis negotiation)
- Responding to the mentally ill
- De-escalation
- Critical event management (large parties, community events, sporting events, large crime scenes)
- Use of force
- Pursuit/EVOC
- Search/seizure and arrest
- Care, custody, control/restraint of prisoners
- Domestic violence
- Property/evidence
- Ongoing disputes (violent neighbors, ongoing code enforcement problems, threats to citizens)
- Dealing with aggressive animals (e.g., shooting of an aggressive dog)
- Contacting people who are lawfully carrying firearms (open carry and concealed)
- Dealing with sovereign citizens

All employees need to be well versed in how to avoid liability. Training to avoid liability should be on an annual basis and well documented.
An agency’s insurance carrier is often a good source of information on liability exposure in its state. The insurance carrier should be consulted at least on an annual basis for the latest information on trends in this area.

Some insurance carriers conduct monthly liability meetings in which various law enforcement agencies are invited to discuss trends and new approaches to liability management. If the insurance carrier offers this type of service, it is a wise idea to participate in these meetings.

The agency should keep careful records on the type and number of lawsuits filed against it as well as the verdicts and the amount to settle the lawsuit if there is a settlement.

It is important to note that police administrators can be held directly liable for:

- Negligent appointment (poor background investigation)
- Negligent retention (usually based on disciplinary record)
- Failure to train
- Negligent assignment
- Negligent entrustment
- Failure to supervise
- Failure to direct

**Officer Safety**

Officer safety should be paramount in the minds of all employees in the agency. It is incumbent on the chief and his/her staff to provide the staffing, equipment, tools and training to keep police officers as safe as possible. This might sound easy to do, but in reality, this effort requires leadership and management skill in the planning, political and budgeting arenas. An assessment of any unique local threats to officers needs to occur, and a review of threats that police officers are facing nationally needs to be part of this assessment. The same threats faced by police officers in large urban areas are now being faced by officers in small law enforcement agencies around the country.

The department should strive to develop a tactics committee composed of staff who are subject-matter experts from various disciplines who can review and make suggestions on how to improve officer safety. When a critical officer safety event occurs that involves an injury, a near miss or a strong likelihood of an officer’s being injured, a review and recommendations by the tactics committee can be extremely valuable in preventing a future tragedy.

The chief needs to listen to this committee and develop a process where advice is translated into action relative to tactics, training and needed equipment. Not only is this the right thing to do, but in today’s environment, there are ramifications for the chief who doesn’t make officer safety a paramount part of his/her administration. These ramifications come in the form of serious officer injuries, increased disability retirements, attrition and votes of no confidence, internal lawsuits, poor morale and even loss of tenure.
Increasing the department’s budget resources is obviously a key part of providing needed equipment and training. Some innovative approaches to improving a small agency’s budget include the development of fine surcharges, creation of a police or community foundation, and the strategic use of grant monies.

**Employee Satisfaction**

All law enforcement agencies strive to have a high level of employee satisfaction. Although this is the goal, it is often difficult to achieve. Sometimes there are competing demands between individual desires, community needs, department resources and priorities. However, reasonable efforts should be made to have workers who feel that they are valued and that they have a voice regarding the competing demands agencies face. There are various methods on how to show workers that they are valued:

- A meaningful department awards program
- Recognition for employees who excel at their jobs
- Management-sponsored barbecues
- Department-sponsored social events (e.g., attendance at a sporting event)
- Team building events
- Charity softball games

There are also various methods to allow, encourage and mandate employees to have a voice in the agency:

- Employee advisory group: Made up of one employee from each patrol shift, detectives and administration; meets with the chief monthly to discuss how to make the department better.
- Annual strategic meeting in which the future for the agency is charted.
- Annual meeting between the chief and each employee: In small agencies, this can be accomplished relatively easily and is very valuable.
- Encourage employees to serve on recognition panels.
- Management by walking around: In small agencies, the chief and/or senior commanders should be able to visit each work area at least once a week. Visiting employees in their work areas can yield critical information.

Although the above techniques are all valuable, the most critical aspects that apply to both are to:

- Always treat all employees with respect
- Engage in active listening
- Spend time with each employee (even those employees the chief may not care for)
- Strive to make employees better at their jobs (allow them to grow professionally)
- Learn about employees (learn their strengths, weaknesses, family situations)
Management and Leadership Are Both Critical for Success

As mentioned earlier, a successful chief and his/her staff will realize that both management and leadership in an organization are necessary for success. A common mistake is to place too much of an emphasis on leadership and not enough of a focus on management. Leadership focuses on people and management focuses on things. Chiefs clearly need to provide leadership to staff, but also need to manage police equipment, processes, programs, vehicles, evidentiary property, buildings and other things. It is absolutely critical to develop and manage a system to ensure that all of the things in a police department function properly.

This can be done with proper delegation of authority, management audits, development of effective management systems and staff inspections. One of the keys to success is followup by the management staff to ensure that internal systems are operating correctly. Management should never assume that various systems are working well because they hear nothing about them. It can be very misleading if we assume that various systems are operating well when they are not; in fact, this can even be disastrous.

The chief and his/her staff should have a continual process of staff inspections. It is recommended to put systems on a rotating basis and internally assess a different system every month. Most of the time, this will be informal, but on occasion, it may be a formal review with a presentation by a supervisor to command staff.

Some example systems include:

- Patrol procedures
- FTO program
- In-car camera and/or body-worn camera program
- Evidence procedures
- Use of force training and reporting
- Pursuit driving training and reporting
- Internal affairs procedures
- De-escalation training
- Recruitment policies
- EWS
- Confidential funds
- Informant procedures
- Open record requests processes
- Investigative case assignments/clearance rates
Unfortunately, many chiefs have not correctly balanced the concepts of management and leadership, and their careers, as well as the department’s reputation, have been adversely affected. No chief wants to be surprised by a management failure. It is far better for the department management team to find a system problem and correct it than to read about it in a lawsuit or in the local newspaper.

How to Improve Community Service

One goal of every police administration should be “how does the agency improve community service?” This is truly a multi-faceted question. We have discussed techniques on how to improve efficiency and effectiveness within the police department and how this will improve service. Now, we need to address how the police department can improve the quality of life in a community.

Small law enforcement agencies are in a unique position to do this. Police officers in small communities have an intimate knowledge of who makes up their community and what is needed to improve the quality of life. One of the major keys to success in this area is leadership within the police department to get the department involved in the community. The chief has to be a true leader in this arena. He/she needs to understand the community and realize what is needed and the resources that are available. Community involvement starts at the top.

The first step in this process is for the chief to be an active leader in the community. This includes active participation in service clubs (e.g., Rotary, Lions, Optimist) and attendance at school district meetings, various community meetings, homeowners association meetings, business association meetings, community events and meetings of special interest groups.

The next step is the formation of strategic alliances and partnerships. Ideally, this is a mutually beneficial relationship. The police department can provide information, crime prevention tips and extra patrol when needed. The community can provide support, extra eyes and ears, and information that will help the police to be more effective in their duties.

In small communities, there are two simple tests to determine the department’s relationship relative to community service and strategic alliances and partnerships. First, does the chief know the name of, and have some relationship with, every school principal in the community? Using these relationships, does the chief develop programs to enrich the lives of school-aged children in the community? Examples include school resource officer programs, Red Ribbon Week, Every Fifteen Minutes and safe driving programs.

The second test is has the chief developed a public outlet to get the department’s message out in such settings as business groups, homeowner groups, service clubs and other community organizations? Does the department have a strategic presence at these organizations that has developed and matured over the years?
Working at, and achieving an improvement in, community service by the police department not only improves the quality of life in the community through various means such as improved citizenship for youths and a reduction in the abuse of alcohol and drugs, but also a safer community via a lower crime rate. Strategic alliances and partnerships can also yield monetary donations to the police department in key areas that will also improve service to the community and improve the quality of life. Donations can be used for:

- K-9 programs
- Crime prevention
- Youth programs
- Improved police officer training
- Modern police equipment

This is a critical area that needs to be viewed as continually developing over time. Failure to continue to improve service to the community over a long period of time results in stagnation, and ultimately could lead to a feeling of isolation and negative feelings between the police department and the community.

Succession Planning

It is inevitable that everyone’s career comes to an end, and it will become time to hand the reins of the organization over to a successor. There is no greater compliment than to hand these reins over to someone from within the organization. The challenge is to develop a leader from within the department – someone who can lead as seamless a transition as possible from one police administration to another.

Developing someone to do this should start years before a chief decides to retire. This is a process that cannot be rushed, because there are many parts to developing a new chief from within the organization. These include:

- Guiding the future leader in obtaining a college education from an accredited college (this is becoming more of a standard requirement).
- Developing and implementing a comprehensive command training program, to include attendance at a major law enforcement command training program (e.g., FBI National Academy, Northwestern Center for Public Safety School of Police Staff, Command or the Southern Police Institute Administrative Officers Course).
- Ensuring that this person has command experience in all divisions of the police department so that on becoming chief, there is a solid understanding of all facets of the organization.
- Allowing the future chief to shadow the current chief as much as is practical, with specific time devoted to dealing with internal city issues.

MANAGEMENT TIP. Succession planning should be something that is considered and evaluated soon after a chief is appointed. At this point it is too early to make a formal decision, but it is not too soon to start developing senior department leadership to aspire to, and prepare to become, chief. I prefer allowing all senior managers to develop with succession in mind, and evaluate individual strengths and weaknesses over time. When a chief is seriously considering leaving, an adequate timeframe for formal succession planning should be about two years.
Assigning the future chief as the acting chief in the chief’s absence.

Providing tutoring on how to handle difficult and unusual situations.

Ensuring that the future chief is competent in critical areas such as personnel management, budgeting, internal affairs, dealing with the media and navigating the political landscape.

If properly managed, the new chief should be able to accept his/her duties in such a way as to cause no, or very little, disruption to the agency. If this is not managed properly, it may take years after a transition for an agency to stabilize.

Succession planning should be viewed as a process for every rank in the police department, not just at the chief’s rank. One of the benefits of working in a small law enforcement agency is that the chief gets to know personnel very well. It is entirely possible that the chief will know who wants to be promoted, who is promotable and what steps are needed to take to make a smooth transition at every rank.

Succession planning also helps in personnel retention. Personnel who want to be upwardly mobile now have something predictable to look forward to in their careers. Personnel at all ranks should be mentored and have on-the-job experiences to help them earn promotion to the next level in the organization. A formal mentoring program is highly advisable.

**Building Trust and Legitimacy**

Developing a trusting relationship between the community and the police is critical for success. This is an area where many small law enforcement agencies excel. They should know, and work with, the key stakeholders in their communities to be able to facilitate this. A guardian mentality, rather than a warrior mindset, will serve well in developing trust and legitimacy within communities. The importance of an effective community outreach program cannot be stressed enough. Law enforcement agencies should invest time, money and effort into working with all aspects of the community in such a way as to build trust. Trust also translates to support – especially in times of controversy.

It is also important to include members of the community in various aspects of the police department. This might include promotional panels, oral hiring boards, police advisory groups and crime prevention programs.

**Policy and Oversight**

The era of law enforcement agencies being autonomous has ended. Today, transparency and jointly developing policy are pathways toward success. High impact and high liability policies need to be developed with great care and extensive contemporary research: whenever possible, community involvement in developing policies should be the goal. Many small law enforcement agencies improve transparency by publishing their department manual online and continually receiving community feedback.
One process that is recommended is looking into the development of a best practices program. Command staffs from preferably four or more similarly sized agencies meet once a year to discuss what is working and what is not working. The discussion of best practices improves the administration of all law enforcement agencies that participate.

**Technology and Social Media**

There is no doubt that the use of technology and social media can improve transparency and trust between the police and the community. Today, departments can reach out to large segments of the community in a matter of seconds. The powerful communication tools of today and the future need to be embraced and used fully. Better policing and greater community outreach occurs today through the use of Facebook, tweets and other contemporary means than through all other means combined.

**Community Policing and Crime Reduction**

Small agencies often have an optimal environment to promote community policing. They should continue to develop and adopt policies and strategies that reinforce community engagement in managing public safety at all levels in the organization. Innovative approaches to crime prevention and reducing crime should be explored in every police organization. We need to realize that what works in one agency may not work in another. Each locale has its own unique set of issues and needs. Crime reduction can be the result of many different efforts – these include crime prevention programs, youth programs, court-based rehabilitation programs, substance abuse programs and partnering with mental health services as well as enforcement efforts. Whenever possible, it is a wise decision to have a dedicated crime prevention/community outreach position.

**Training and Education**

Policing has never been more complex than it is today. Agencies need to train officers in a multitude of areas and make excellent use of limited training dollars. Not only do agencies need to train officers in how to use firearms, defensive tactics and emergency driving, but also in cultural diversity, crisis intervention training, de-escalation, mental health first aid, homelessness and the science of addiction. A well-thought out annual in-service training program should encompass not only training in perishable skills, but also how to deal with the social problems.

Advancing formal education for police officers should be a cornerstone in every law enforcement agency. Society is becoming better educated and police officers should as well. Formal education pays dividends for employees at every level in all law enforcement agencies. It is a fact that college-educated officers have lower rates of use of force and fewer citizen complaints than non-college educated officers.
A well-designed training program should be part of every police department. The department training program should consist of training that every police officer needs and training that is specific to the needs of each rank. A thorough management training program is critical for long-term success. There are several excellent training programs for command officers. Attendance at a minimum of one of these command training programs should be mandatory for ranks above sergeant.

**Officer Wellness and Safety**

Officer wellness is a critical component of maintaining a healthy and productive workforce. Physical and mental health is something that every police administrator should address in his/her agency. Many small departments have developed innovative approaches that include health newsletters, rewards based on fitness levels (or rewards for time devoted to attaining certain fitness levels), nutritional counseling, stress coping workshops, financial fitness and family counseling services. All agencies should have access to confidential Employee Assistance Programs (EAP). Peer support counselors and police department chaplains are a valuable addition to all law enforcement agencies. Ergonomics in the workplace should be reviewed for all employees and discussions held on the value of stand-up workstations. Many new police facilities have developed sleep rooms for officers who have a short turnaround between their end of watch and court.

Officer safety is the most important aspect in law enforcement agencies today. Officer safety equipment should be continually evaluated to ensure that only the most modern, most effective equipment that is in good working order is being used.

A tactics review committee is essential to review best practices in situations where officers have been put at risk. All near-misses should be reviewed to further enhance safety. Patrol shifts need to be assessed to ensure against officer fatigue.

Police executives should review the Blue Alert System (http://cops.usdoj.gov/bluealert) and ascertain if this system would make their officers safer, and if so, work toward implementation.

**Conclusion**

Leading small law enforcement agencies continues to be a challenging endeavor. Contemporary leaders and managers must continually assess and look for ways to improve operations. This is not an easy task, considering the many challenges we face.

We must plan new and innovative approaches toward maximizing departmental efficiency and effectiveness. It is highly recommended that the chief, or a senior command officer designated by the chief, closely track these efforts. Steady progress over the course of several years is the goal – not a flash in the pan approach.
Small law enforcement agencies that are well connected to the communities they serve are in an excellent position to continually evolve with the community. Barriers such as red tape, bureaucracies and lack of teamwork must be overcome. The goal for improving the operations of small law enforcement agencies should be to create the highest level of service delivery to the community possible.

This training guide has provided the reader with a roadmap on how to proceed with assessing and improving operations. It is truly our desire to see success in every small law enforcement agency in the United States.
About the Author: Chief Paul Schultz has more than 44 years of law enforcement experience, with the past 22 years as chief. He retired after more than 20 years of service from the Thornton (Colo.) Police Department as a commander. He has since served as chief in LaVista, Neb., Lafayette, Colo. and Canon City, Colo. He has also served as director of Colorado’s Peace Officer Standards and Training, where he was responsible for the certifications of more than 15,000 peace officers and administrative oversight of 31 police academies. In 2017, he was appointed as chief of public safety for the city of Ft. Morgan, Colo.

Chief Schultz is a graduate of Metropolitan State University in Denver where he earned a bachelor’s degree in criminal justice management and administration and the University of Colorado at Denver, where he earned a master’s degree in administration of justice. He is also a graduate of the FBI LEEDS, LEEDA and the FBI Command College training programs as well as the Police Executive Research Forum’s Senior Management Institute for Police, the New England Institute for Law Enforcement Management and the University of Denver Public Safety Leadership Program.

Chief Schultz teaches undergraduate level criminal justice courses at the University of Colorado at Colorado Springs and graduate level criminal justice courses at Regis University in Denver. He also teaches at the FBI Command College and at the Southern Police Institute, where he has taught a Managing Small Law Enforcement Agency course to more than 3,000 command officers from every state in the United States for more than 20 years.

He has been appointed president of the Police Chiefs Association of Nebraska and the Colorado Association of Chiefs of Police (CACP). He currently serves on the Justice Assistance Grant (JAG) Committee and as the chair of the Professional Standards Committee for CACP, where he manages the statewide accreditation program. He has been appointed to four other statewide committees by various Colorado governors.

Chief Schultz has been recognized as Chief of the Year in Nebraska; as Boulder County (Colo.) Chief of the Year, and as recipient of the CACP Pioneer Award and the Denver Regional Council of Governments Innovation Award. He has also been a winner of the prestigious IACP/Motorola Webber Seavey award for quality in law enforcement. Chief Schultz has also won the national award for best National Night Out a record seven times.

He is a certified expert witness in police policy in the 10th Federal Court Circuit and has been an expert witness in more than 25 cases.

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