

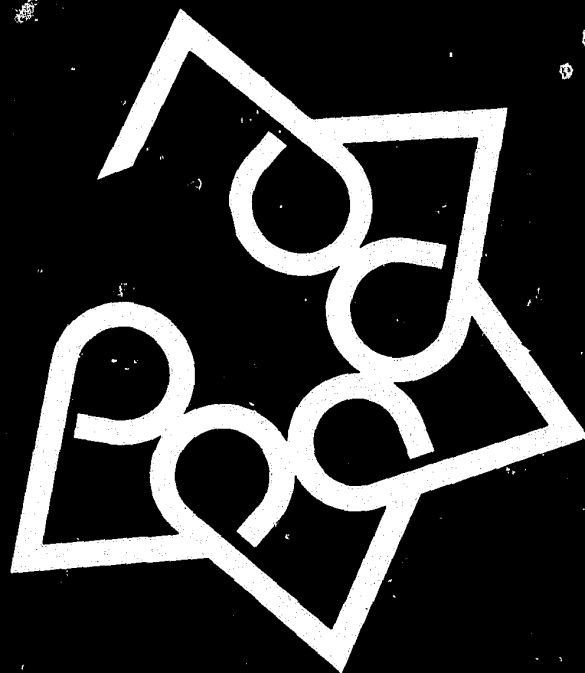
National Advisory
Committee on
Criminal Justice
Standards and Goals

Police Chief Executive

Report of
the Police Chief
Executive Committee of
The International
Association of Chiefs of Police

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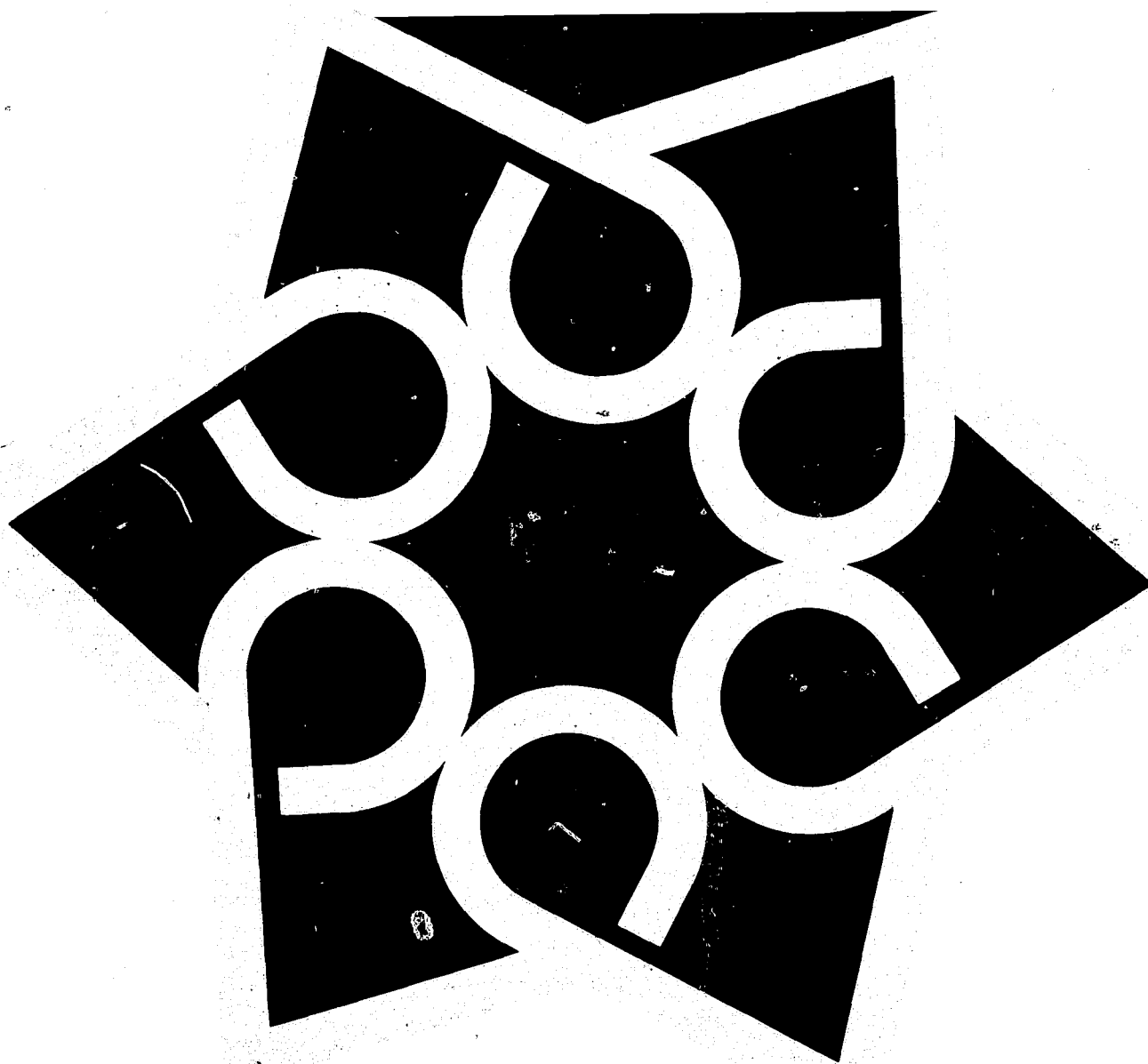
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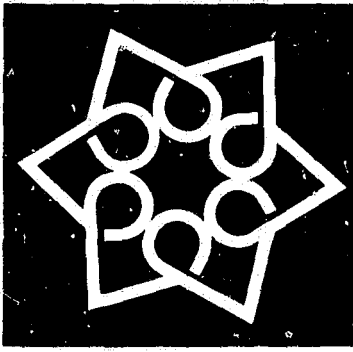


National Advisory
Committee on
Criminal Justice
Standards and Goals
Washington: 1976

Police Chief Executive

Report of
the Police Chief
Executive Committee of
The International
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Leadership so vitally needed for the law enforcement profession cannot be effectively provided under conditions present in many villages, cities, counties, and States of America. During the last several years, this has been the concern of a great many police chiefs, sheriffs, and heads of State police agencies, including my colleagues in the International Association of Chiefs of Police. The job of the police chief executive is becoming more complex and more demanding, while resources to do the police job are becoming more closely scrutinized. New problems are emerging that have never before confronted police chief executives. The issue of crime continues to be a dreadful burden on Americans everywhere. To cope with these problems, effective leadership of police agencies must be provided, and effective police leaders must be allowed to function.

In 1972, as Chairman of the Task Force on Police of the National Advisory Commission on Criminal Justice Standards and Goals, I was afforded the opportunity to direct a nationwide effort to develop standards for my profession. It was apparent that the accomplishment of the resulting standards set in the *Police* report would depend largely upon the individual leadership skills of those police chief executives who direct the thousands of police agencies across the United States.

The president and board of officers of the International Association of Chiefs of Police also recognized this need and a committee was appointed to examine the problems confronting police chief executives.

The Police Chief Executive Project, funded by the Law Enforcement Assistance Administration, conducted an exhaustive yearlong study into the critical role played by police chief executives. The study was conducted under the auspices of the International Association of Chiefs of Police (IACP) by the Police Chief Executive Committee.

The Committee comprised eight chiefs of police from the United States and Canada, two sheriffs, one active and one former head of a State police agency, a Deputy Associate Director of the Federal Bureau of Investigation, a noted management authority, a Superior Court judge, the current president of IACP, and two past presidents of IACP. Each member contributed from his extensive background to the shaping of the 18 standards contained in this Report. Each of the standards and their related commentaries was painstakingly reviewed by that Committee, and the impact upon the various types and sizes of police agencies was carefully discussed.

These standards and related commentaries are meant for the generation of police chief executives who are presently leading our Nation's police agencies and for the generations to come. They are also meant for the Governors, mayors, city managers, other civic leaders, and interested citizens who desire a more extensive knowledge of the role of our Nation's police chief executives.

A critical issue that these standards address, and the one that our States and communities must also address, is the excessive turnover of our police chief executives. The relatively short tenure of police chief executives reduces the opportunity to develop and implement effective programs to reduce crime. The Committee developed standards meant to assist in the careful selection of competent police leadership, and to retain in office qualified police chief executives to permit the implementation of crime-reducing programs.

The degree of acceptance of standards for the selection and retention of police chief executives may very well determine the direction and quality of America's police service. The critical issue of selection faces those who apply the selection standards in Part 2, for it is selection authorities who will ensure greater tenure for their police chief executives by identifying the most qualified candidates. In turn, Part 3 speaks directly to the steps that police chief executives and their superiors must take to develop an effective working relationship and thus help to ensure successful and continued tenure of those who are qualified to lead.

Readers of this Report should appreciate the debt that is owed to the Police Chief Executive Committee and to the hundreds of chiefs of police, sheriffs, and State police directors, and to the Governors, mayors, city administrators, and heads of commissions, municipal councils, and county boards who responded to questionnaires and gave of their time to be interviewed for this study. The value and significance of the standards contained in this Report must be considered in the light of that tremendous contribution.

On behalf of the Police Chief Executive Committee, I would like to add my personal thanks to the project staff. This Report is the product of a fine group of police professionals who systematically addressed the complex issues that this important subject involves. I am especially proud of the monumental job that Vern Hoy and his professional police staff did. The research they conducted throughout this country and the commentary they generated accurately reflects the consensus of the Committee as well as the opinions of police chief executives and their superiors who participated in this study. The staff represented their profession objectively and resolutely. It is their efforts, and those of the Committee, that have made this Report what it is.



Chairman
Police Chief Executive Committee

Los Angeles, Calif.
November 14, 1975

The National Advisory Committee on Criminal Justice Standards and Goals was appointed in 1975 by Richard W. Velde, Administrator of the Law Enforcement Assistance Administration. The purpose of the Committee was to expand on the activities of the original National Advisory Commission on Criminal Justice Standards and Goals, which in 1973 had published a six-volume report recommending standards for police, courts, corrections, community crime prevention, and criminal justice systems.

In 1976, the National Advisory Committee, under the chairmanship of Gov. Brendan T. Byrne of New Jersey, issued its five-volume report: *Juvenile Justice and Delinquency Prevention, Private Security, Organized Crime, Research and Development, and Disorders and Terrorism.*

The Police Chief Executive Report is a companion volume to these five reports. Although it was not developed under the direct auspices of the National Advisory Committee, the report is an integral part of the standards and goals program.

A Police Chief Executive Committee of the International Association of Chiefs of Police was formed in 1975. Its mission was to study the problems inhibiting effective police leadership and to adopt standards that, if implemented by State and local governments, would serve to locate and retain the best qualified and able executives for every police agency. *The Police Chief Executive Report* is the product of their labors.

The Police Chief Executive Report addresses the issue of effective police leadership. Without such leadership, the implementation of standards to improve police services is unlikely.

The recommendations of the *Police Chief Executive Report* were not formally reviewed by the members of the National Advisory Committee. They represent the views of the Police Chief Executive Committee alone. Nevertheless, the National Advisory Committee generally endorsed the Report and approved its inclusion as an official standards and goals publication.

**POLICE
CHIEF
EXECUTIVE
COMMITTEE
OF
THE
INTERNATIONAL
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OF POLICE**

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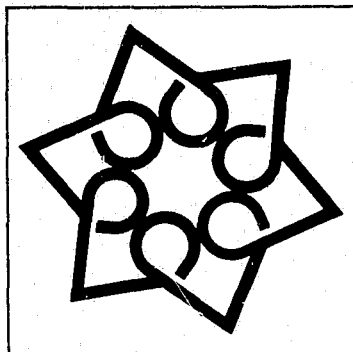
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The police chief executive is one of the most important individuals in the criminal justice system of any State, city, or town in America. Charged with protecting the persons and property of all members of the community, the police chief executive leads the most visible of public services.

This report is about those individuals who lead police agencies. It proposes an orderly method of selecting a police chief executive who is qualified for a particular job. It proposes a systematic way of retaining a qualified police chief executive after selection. And it sets out procedures, grounded on American constitutional notions of fairness and due process, for removing an unqualified police chief executive from office.

Stability of government—change without disruption—is a hallmark of democracy. Most States and municipalities in the United States move from one political administration to another with little more than the fanfare of a parade, a swearing-in at the State House or City Hall, and a victory dinner for the winners.

In most States, counties, and municipalities, too, the transition from one police chief executive to the next is conducted in an orderly and proper manner. There may be less fanfare, and no parade, but the event is nonetheless of enormous importance to that State or community. The qualifications of the person selected for the position of police chief executive will have lasting effects on the quality of life in that State or community.

In some communities, selection of the police chief executive is not conducted in an orderly and proper manner. There may be political considerations—as when the new occupants of City Hall look upon the position solely as a patronage job. When that occurs, the potential harm is equally lasting.

The Need for Standards

One of the most disruptive events in the life of a community can be the removal or premature resignation of the police chief executive—and the selection of a successor can be equally unsettling. Some

American communities regularly hire and fire police chief executives. This often is allowed to happen because the public does not recognize the importance of leadership in a police agency. The stability and continuity essential to effective police service is never allowed to develop when the leadership changes frequently. The community and the agency both suffer.

Just as critical a problem is the situation where a community has no realistic method to learn how effective a job their police chief executive is doing. Police chief executives who are not truly serving their communities thus continue in their positions, and competent chiefs are not recognized.

Police chief executives may be required to work without sufficient authority. With little or no protection from arbitrary or capricious removal, and in an environment fraught with pitfalls, the police chief executive may be unable to implement even the most basic procedures or programs.

Such conditions are usually dismissed as hazards of the job. But, for the capable and professional police chief executive in this type of jurisdiction, converting the police agency into an effective and efficient organization frequently becomes a month-to-month proposition. The public too seldom realizes that the adverse conditions are serious or that they exist at all.

The most serious situation, and one that is perhaps least recognized by the public, exists when a few local governing officials regard the police agency as a private preserve of their particular political faction or philosophy. Such circumstances often bring about the intentional selection of a police chief executive who might be controlled more easily. With a pliable police chief executive, the local agency becomes, in effect, a private police force for the politicians in power. After each local election, a change in governmental administrations often occurs, which may result in a new private police force for the victorious political or special-interest group.

Most police chief executives are dedicated people who honestly serve their profession. They work to make the criminal justice system an effective instrument of government in their area and State. Their

success usually is rewarded by continued tenure and the confidence of the citizenry.

Some jurisdictions have neglected to develop people within the police agencies to assume the leadership role. Where this is true, the job of police chief executive may go to someone who is not prepared for the important position—who does not meet minimum standards and who has not demonstrated the essential leadership and administrative qualifications.

In every region of the country, however, outstanding police chief executives can be found successfully heading large and small police agencies providing extremely capable leadership to their organizations and to their communities.

Police Leadership

Concern about leadership of police agencies is increasing. Americans are becoming increasingly concerned with crime and their personal safety. The public is looking to the most visible part of the criminal justice system—the police—for leadership. The one individual to whom a State or community looks for professional police leadership is the police chief executive.

Where leadership is lacking or where political leaders fail to provide it, police services will break down quickly. Where a less than qualified police chief executive is selected, the community will suffer. Where a highly qualified police chief executive is removed prematurely without having had time to implement fully programs that will bring about effective police service, the community has been cheated. Where an unqualified police chief executive is allowed to remain in the position, the community must look forward to continued poor service or deterioration of once good service. Every community should have police leadership with the qualities that are necessary for political and public understanding of the police service—its objectives, its ideals, and its needs.

Through its research, the Police Chief Executive Committee has proposed standards that, if adopted will help the police chief executive, the local government, and the community overcome the problems that lead to inadequate, inefficient police service. The standards will serve to locate and retain the best qualified police chief executive for every police agency in the Nation.

It is toward that person that the Committee has directed its attention. Appointing authorities must know how to look for that person and how to recognize the leadership abilities needed by their agencies. Superiors must recognize the police chief executive's authority, and balance that recognition with adequate and equitable supervision.

The police chief executive must possess the leadership abilities necessary to involve the community and its political and governmental structure in crime prevention. Crime prevention cannot be the sole enterprise of the police agency. It cannot be said too often that the community must be involved in its own safety and welfare. The police chief executive must be the person who takes the initiative, unites disparate groups, and elicits community action.

Communication is a recurrent theme of this Report: communication between the police chief executive and his or her superior, communication with community groups, communication with governmental agencies, and with the media. Specific ways to facilitate communication are outlined, but openness that does not hamper necessary police operations should be the police chief executive's goal.

Communication in this sense means two-way information exchange. In this way, the police agency will be able to understand the needs of the community and the community will be involved in the day-to-day activity of crime prevention.

Communication must continue between the police chief executive and the personnel of the police agency. The executive must continue to evaluate the agency itself and to develop management personnel. With an effective management team and an accurate evaluation of the agency, the police chief executive can then order the needs of the agency. If the executive has opened lines of communication within the agency, every employee will be ready to work toward the established goals in an informed, efficient manner.

As practitioners, police chief executives must communicate their opinions about public safety matters. Superiors must recognize this duty, as must appointing authorities. Everyone involved with the police agency must recognize that the opinions expressed must be professional and about public safety issues; they must not be the personal prejudices or attitudes of the police chief executive alone. The police executive who expresses a professional opinion will be able to develop community support for and recognition of crime prevention activities.

The Police Chief Executive Committee

In its 668-page *Police* report, the National Advisory Commission on Criminal Justice Standards and Goals provided a framework for the improvement of the police service in America. The police chief executive, in the *Police* report, was recognized as the pivotal figure and the one person most responsible for implementation of the recommended standards. Although frequently referred to in that report, the functions of the police chief executive did not receive

the detailed analysis that the National Advisory Commission's Task Force on Police had hoped for. The Police Chief Executive Committee was formed to give the police chief executive position that detailed analysis.

In the fall of 1973, Francis B. Looney, as president of the International Association of Chiefs of Police (IACP), proposed that the Nation's law enforcement leadership take the initiative in the search for solutions to problems confronting police chief executives. He appointed Edward M. Davis, Chief of the Los Angeles Police Department, to be chairman of a committee of the IACP to study those problems. Subsequently, a committee was formed to provide guidance for the Police Chief Executive Project.

Then, early in 1974, Richard W. Velde, Administrator of the Law Enforcement Assistance Administration, suggested that a joint effort be undertaken by the IACP and the Los Angeles Police Department to continue the work begun by the Police Task Force of the National Advisory Commission on Criminal Justice Standards and Goals. The specific purpose would be to establish guidelines for selecting police chief executives and to create a set of standards to help retain those who are qualified.

The Committee recognized that many incumbent police chief executives do not possess all of the minimum qualifications called for in this Report. The Committee strongly believes that incumbents have experience as police executives that substitutes for those minimums. The minimum qualifications proposed in this Report should apply only to future candidates for police chief executive positions.

SCOPE AND METHOD OF RESEARCH

The Police Chief Executive Committee directed that the research effort encompass all general-purpose police agencies. The research staff recognized the varied backgrounds of this Nation's police chief executives and the organizational diversity of small and large police agencies in the rural and metropolitan regions of the country.

Initially, the Committee directed the staff to conduct research into existing practices and statutes that might be utilized as models to assist in development of standards. The Committee sought to suggest practical and well-founded guidelines that communities could readily recognize and accept. Despite the abundant literature on police administration and the profession, the Committee was aware of the scarcity of data on the role and position of police chief executives. The lack of such information, and the conse-

quent lack of any comprehensive document on the subject, necessitated indepth research.

Early in the study, a need for the opinions and attitudes of police chief executives and their superiors became apparent. Three questionnaires were distributed nationwide to ascertain their opinions. Appendix 1 of this Report describes the questionnaires, the interviews, and the other research that went into this Report. Appendix 4 shows statistical summaries of the responses to the three questionnaires.

From the questionnaire response, it was possible to develop basic standards that reasonably could be expected to secure the support of a sizable majority of police chief executives and their superiors.

Throughout this Report, reference is made to the data obtained from the questionnaire surveys. Whenever data were obtained from a specific question, the questionnaire and question number will be identified as follows:

PCE I refers to *Questionnaire for Police Chief Executives*,

PCE II refers to the second questionnaire sent to police chief executives—*Followup Questionnaire for Police Chief Executives*, and

Superior refers to *Questionnaire for Immediate Superiors of Police Chief Executives*.

Thus (PCE I #5) refers to question #5 in the *Questionnaire for Police Chief Executives*.

Objectives of the Police Chief Executive Report

The scope of the Police Chief Executive Report is far ranging in many respects. Each of the several subject areas merits separate extensive study, but it was important to present an omnibus volume to the interested reader. This Report does not address every issue or attempt to answer every question that might be asked.

This Report is not a text on police administration. Ample literature exists in the fields of management and public administration. Although this Report makes references to police administrative practices, it does not attempt to address all conventional administrative or management concepts.

This Report is divided into two parts that correspond to two specific objectives of the Committee: first, to provide guidelines for the selection of police chief executives; second, to suggest means by which communities can increase the effectiveness of their police chief executives by ensuring the authority, resources, and tenure necessary to fulfill the responsibilities of the position properly.

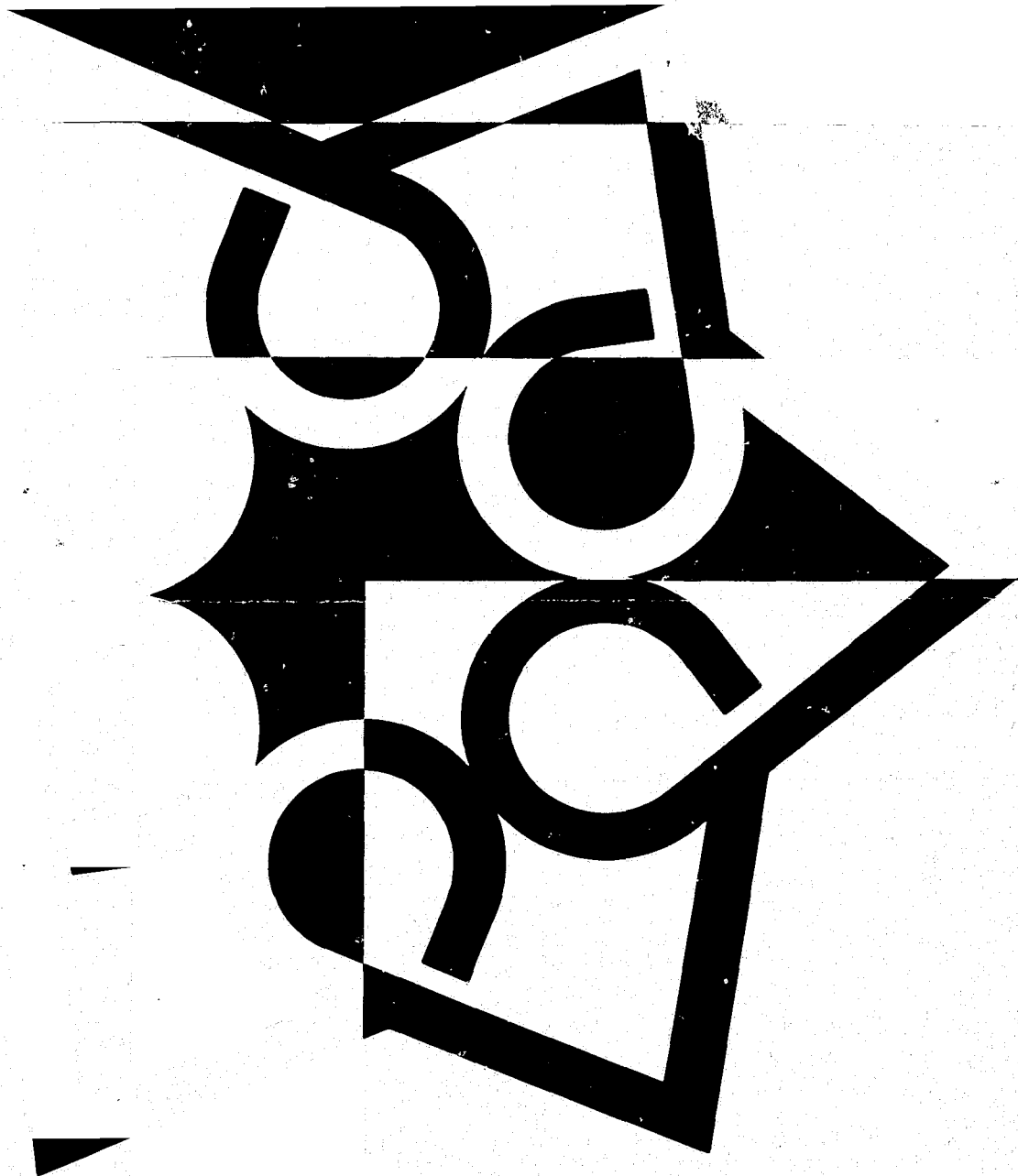
Several key terms are used throughout the Report and are therefore important to define in the introduction.

Police chief executives are those persons who have the administrative and leadership responsibility for the policies and performance of municipal, county, or State police or public safety agencies. They have the title of, among others, chief of police, sheriff, superintendent, colonel, director, or commissioner. Police chief executives may report to a mayor, city manager, citizen's commission, town council, or other local legislative group, or to a Governor, State attorney general, or the electorate.

Superiors are those persons who most directly supervise the police chief executive. This person may be the presiding officer of a Commission, board, town council, or legislative group; a mayor or city manager; or the Governor.

The appointing authority may be an individual or a group of persons who makes the final police chief executive selection decision in the jurisdiction. The appointing authority may also be involved in or authorize others to carry out assessments of the agency and of the possible candidates. The appointing authority may be the immediate superior to the police chief executive.

Part 2
Selection of Qualified
Police Chief Executives



INTRODUCTION

Every appointing authority faced with the decision of selecting a new police chief executive is confronted with one of the most critical decisions he or she must make. Voters who go to the polls to elect a sheriff are confronted with the same difficult task. The individual who is finally placed in the position of chief of police, sheriff, or State police director, will have a significant impact upon the quality of life in that city, county, or State.

Police agencies, to be effective, need stability in leadership. It is not uncommon to find successful programs in agencies where the police chief executive has been in office 8 or 10 years. Police agencies, however, that have had several police chiefs over a decade often lack concerted action to accomplish agency objectives. It is difficult and often impossible to develop objectives, obtain fiscal support, build teams, and implement programs in fewer than 5 years, and it often takes longer.

The placing of persons in police chief executive positions, in many cases, has been less than systematic or objective. In many jurisdictions, tradition and accepted practices have institutionalized procedures for selecting police chief executives that do not always work toward placing the most qualified candidates in police chief executive positions. The improper selection of police chief executives is one reason for the short tenure of police chief executives.

The tenure of police chief executives in America is, on the average, alarmingly short. A large number of police chief executives never complete their first year in office. In the survey conducted for this Report, 16 percent of the police chief executives indicated that they had not completed their first year in office, an additional 11 percent had not completed their second year, and yet another 13 percent had fewer than 3 years in the top position (Figure: Part 2.1). Fifty percent of the police chief executives had fewer than 4 years as head of their agencies at the time of the survey. These data suggest a dramatic turnover rate of police chief executives during their first years in office.

Stated another way, 84 percent of the police chief executives who participated in the survey had held office in the same jurisdiction for at least 1 full year prior to the study: only 26 percent had 8 or more years' tenure and only 19 percent of police chief executives had been in office 10 years or longer (Figure: Part 2.2).

Tenure of police chief executives in large agencies was generally shorter than in small agencies (Figure: Part 2.3). During interviews for this study, some police chief executives suggested that many years of law enforcement experience before appointment to the top position (Standard 3, Table 3.2) combined with compulsory retirement may shorten the tenure of large agency police chief executives.

Sheriffs had an average tenure (arithmetic mean) of 6.7 years, municipal or county police chiefs averaged 5.4 years, and directors of State agencies averaged 4 years (PCE I #N). Heads of State agencies with 400 to 999 personnel had an average tenure of 2.5 years—shorter than any other group (Figure: Part 2.3). The group with the longest tenure was sheriffs of agencies with 75 to 149 personnel. (Mean averages reflect longer tenure than median averages because the response distribution is skewed, as shown in Figure: Part 2.1.)

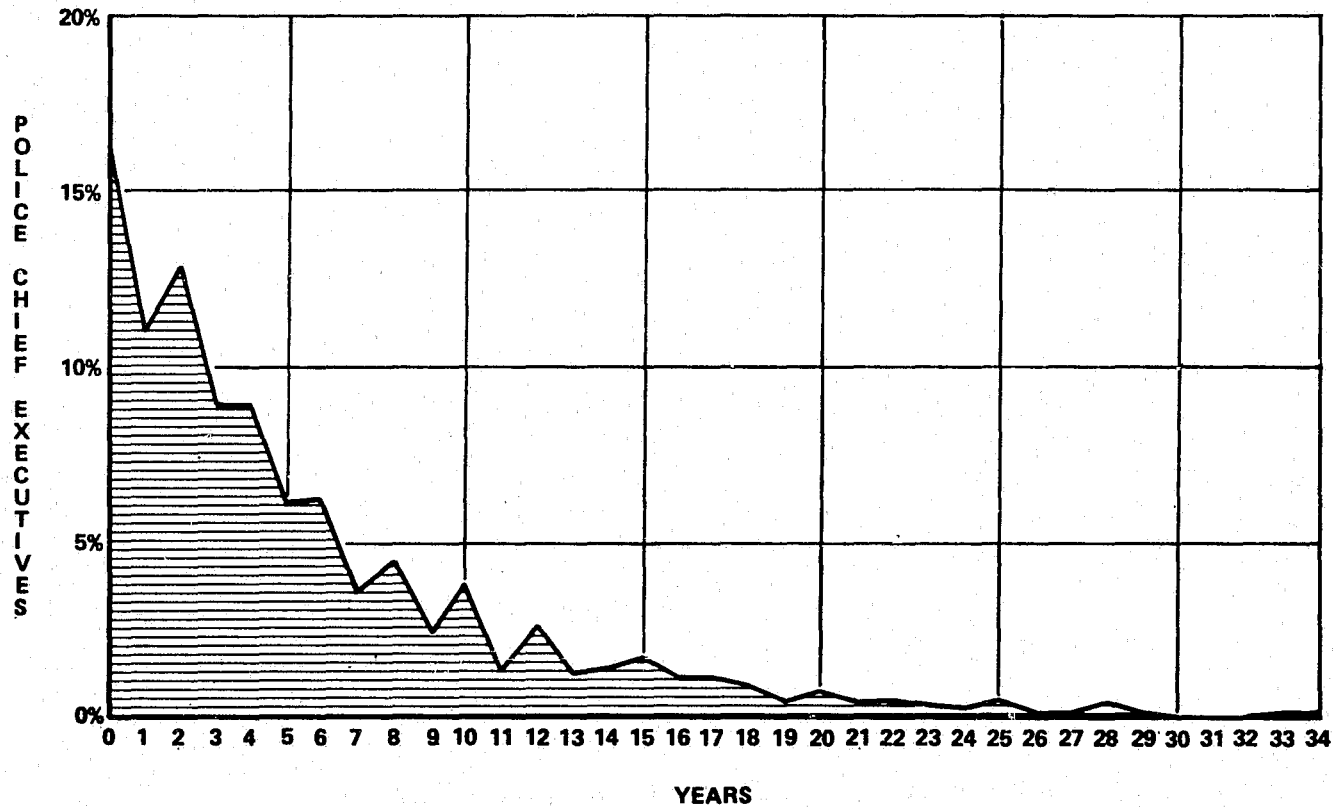
By census division, police chief executives in the Mountain States averaged 4.8 years in office and those in the New England, Middle Atlantic, and West North Central States each averaged 6 years (Figure: Part 2.4).

A profile of police chief executives' tenure by type and size of agency and by census division reveals significant differences. For those who believe that success of police chief executives is measured by length of tenure, there are relatively few that are successful.

The short tenure of police chief executives with the resulting problems was one of the reasons for this study. Part 2 proposes standards that, if implemented, should bring about a choice of strong leadership that can provide stability to police agencies throughout America. An overview of the eight standards in Part 2 follows.

FIGURE: PART 2.1

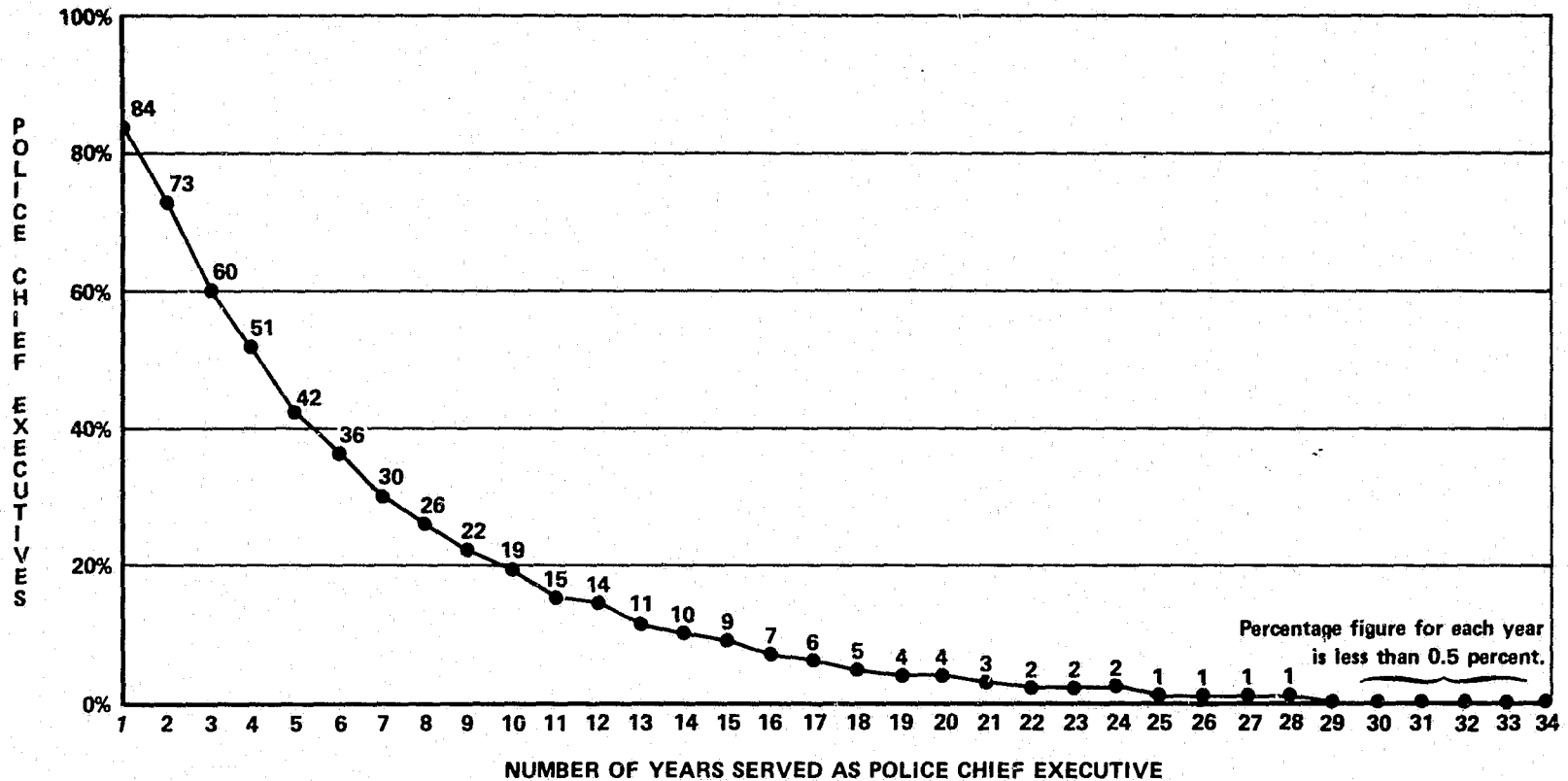
TENURE OF POLICE CHIEF EXECUTIVES



The line graph depicts the responses of police chief executives to a survey question on tenure. The data suggest a dramatic turnover rate of police chief executives during their first years in office. Fifty percent of the police chief executives had been heads of their agencies for less than four years at the time of the survey.

FIGURE: PART 2.2

TENURE OF POLICE CHIEF EXECUTIVES **PERCENTAGE OF POLICE CHIEF EXECUTIVES IN OFFICE BY NUMBER OF YEARS OF SERVICE**



The graph depicts a declining percentage of police chief executives holding office after each successive year. Eighty-four percent of the 1,665 police chief executives who participated in the survey had held office in the same jurisdiction for at least 1 full year prior to the study. Conversely, 16 percent were in office less than 1 year. Just 3 years prior to the survey, only 60 percent were police chief executives of the agencies from which they responded.

FIGURE: PART 2.3

TENURE OF POLICE CHIEF EXECUTIVES

AVERAGE NUMBER OF YEARS AS POLICE CHIEF EXECUTIVE BY SIZE AND TYPE OF AGENCY

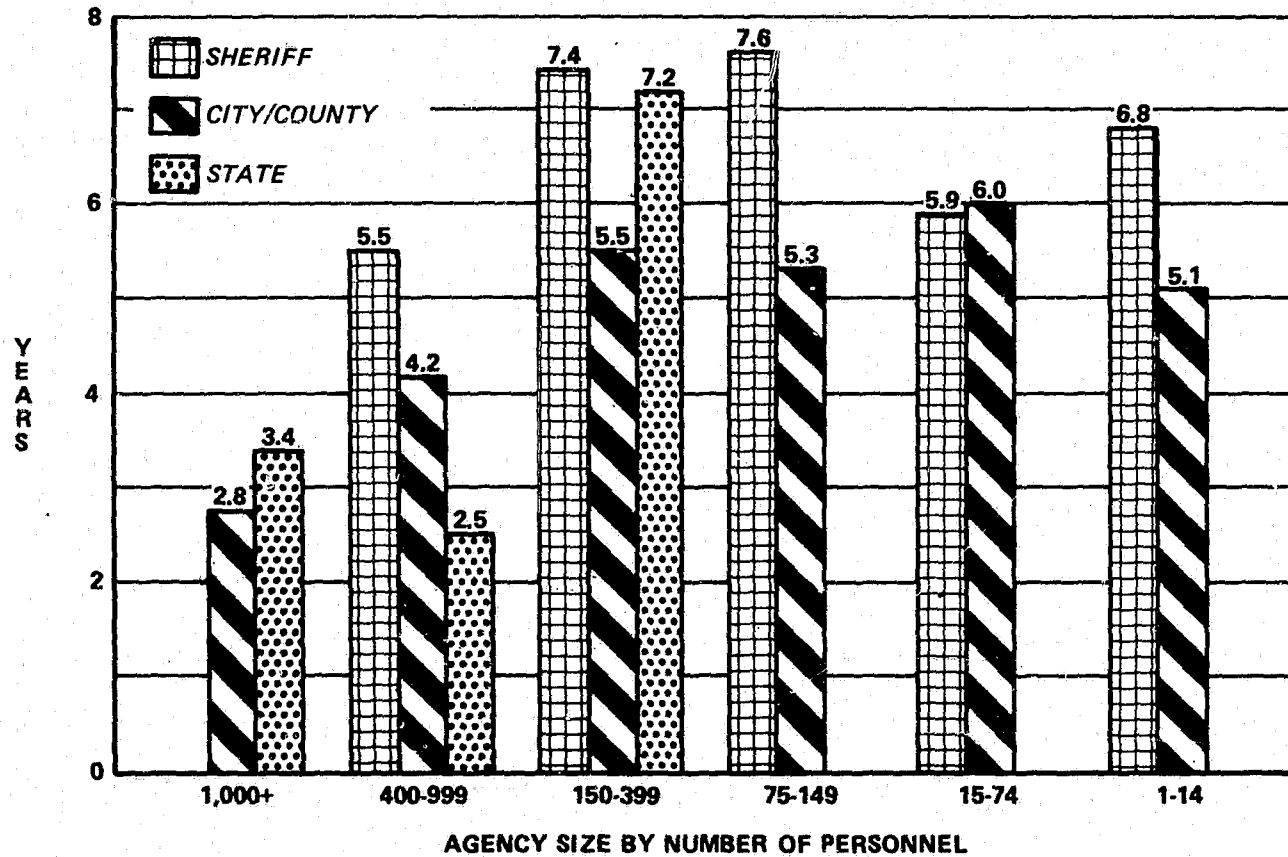
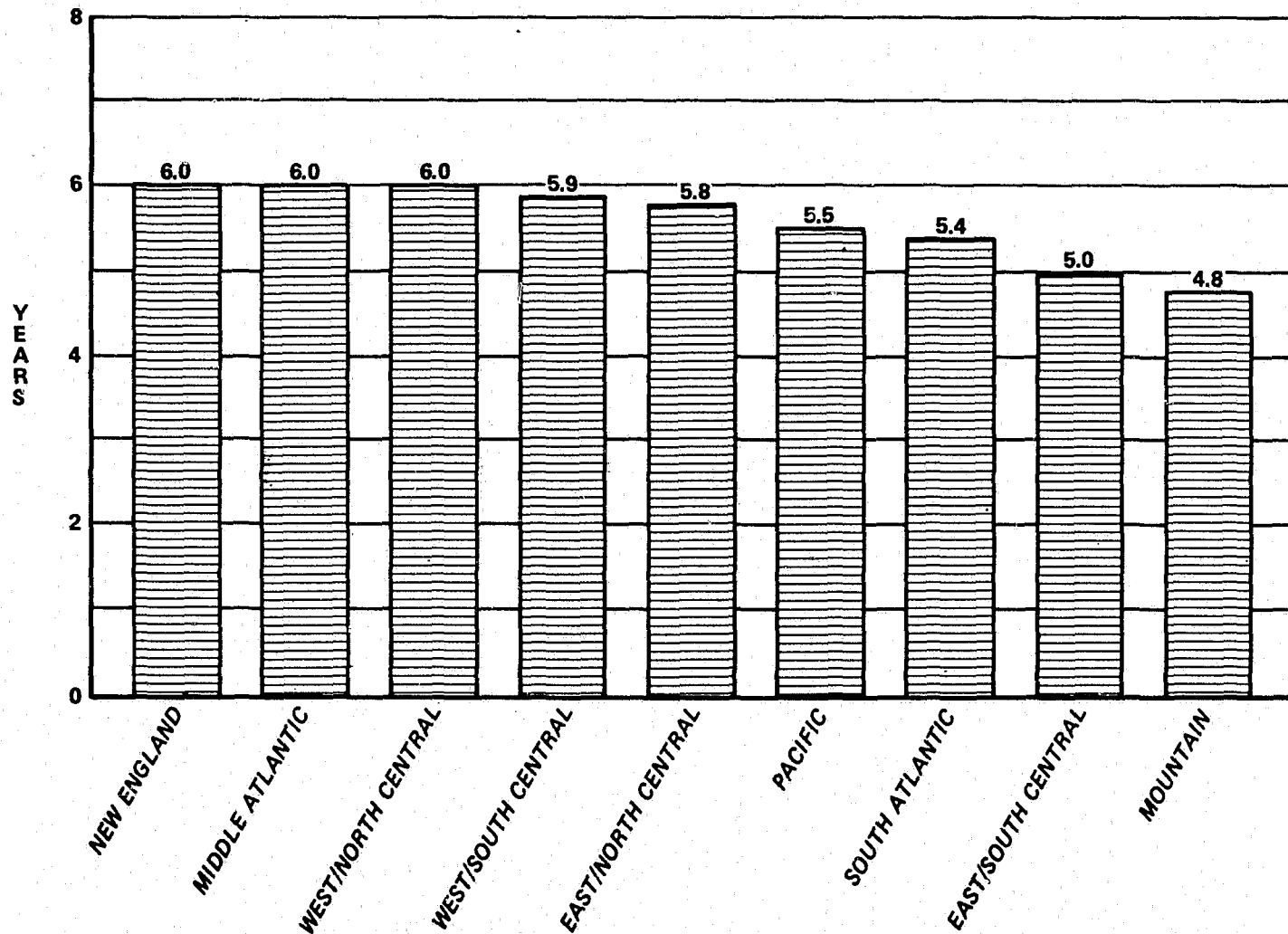


FIGURE: PART 2.4

TENURE OF POLICE CHIEF EXECUTIVES

AVERAGE NUMBER OF YEARS AS POLICE CHIEF EXECUTIVE BY CENSUS DIVISION



SOURCE: PCE I #H

Standard 1: Preselection Assessment of the Agency

The most important step in the selection process frequently is overlooked because most communities and their civic leaders rely on traditional selection processes. This important step should be the systematic, objective assessment of the police agency and the level of service it provides to the community. This assessment sets the groundwork for all subsequent selection process decisions. The assessment may be conducted by persons within the local jurisdiction or by consultants from outside the jurisdiction. No matter who conducts the assessment, by seeking to identify the strengths and weaknesses of an agency, the public's perception of local police service, or problems that affect the agency, civic leaders will get an insight into the needs of their local police and their community. Once the specific needs are recognized, the community can identify the specific police leadership qualities necessary to meet those needs.

Standard 2: Evaluation Criteria for Selection of Police Chief Executives

The appointment or election of a police chief executive usually alerts more public concern than does the selection of nearly any other public official. Because this selection is particularly important to the public and because qualities necessary for effective police leadership are unique and complex, evaluation criteria were researched extensively during this study. It was hoped that the survey data would reveal the opinions of police chief executives and their superiors about the kinds of education, experience, management skills, and personal traits that produce the most effective police leadership. Significant agreement on a great many issues strengthened many of the recommendations contained in Standard 2.

Standard 3: Minimum Qualifications for Future Police Chief Executives

It was the overwhelming consensus of police chief executives and their immediate superiors surveyed for this Report that minimum qualifications should be established for candidates seeking police chief executive positions.

Standard 3 outlines the qualifications that police chief executives and their superiors believe police leaders should demonstrate. Local jurisdictions are encouraged to require additional achievement above the recommended minimums whenever such requirements can be justified. Mandatory minimum quali-

cations for police chief executive positions are recommended with the hope that the police profession can work toward a uniformly high quality of police leadership throughout a given State or region.

Standard 4: Certification of Police Chief Executive Candidates

Formal certification programs for police chief executives are a new concept in the police profession, in spite of the extensive use of certification for entry-level personnel coming into the police service. As concern has grown over integrity in government and heightened professionalism among both police and civic leaders, however, so has support for the development of means to ensure that candidates for police chief executive positions have met State or regional minimum qualifications. Formal certification programs help to ensure that only the best qualified persons are candidates for the police chief executive position. A framework for implementation of certification programs exists in the large majority of States that have Peace Officer Standards and Training Commissions or Boards. Certification should be administered at the State level because a network of commissions and boards already exists. Further, such a network should work out reciprocal agreements between one or more States where comparable minimum standards may be agreed upon.

Standard 5: Internal and External Selection Alternatives

Perhaps one of the most difficult decisions that a selection authority must make is whether to consider candidates from outside the agency as well as from within. Few agencies are restricted to consideration of inside candidates only, but some jurisdictions do have civil service rules or other statutes that limit the choice of candidates to persons within the agency. If this choice is not legally restricted, selection authorities are urged to assess the needs and status of their agency carefully before restricting applications for a position to only internal or external candidates. That assessment must consider the impact on agency morale that an external selection might have and the possible consequences of restricting the selection to internal candidates only. Other factors will also affect the selection authority's decision, the most important of which is whether or not qualified candidates have been developed by and within the agency. If this has been done, the need to look outside is reduced considerably, perhaps entirely. If internal candidates are not available, the selection authority would be doing

the community a grave injustice by failing to expand the search beyond the jurisdiction's agency.

Standard 6: Selection Processes for Nonelected Police Chief Executives

Many varieties of police chief executive selection processes are in use throughout the Nation, but they usually fall into three or four general categories: political appointment, competitive civil service examination, appointment by nonpolitical boards of individuals without a civil-service type examination, and some form of seniority system. Although there was no general agreement about the best selection method, almost 100 percent of both police chief executives and their superiors agreed that a formal selection process should be used. The elements of that process most frequently suggested by both groups are discussed in Standard 6.

Standard 7: Compensation for Police Chief Executives

Attracting highly qualified, professional candidates for police chief executive positions can be a frustrating experience for selection boards if they cannot offer adequate compensation to the candidates. To try to save money at this important level within the governmental structure will not only deter the most competent candidates but might also result in tremendous losses later as a result of policy decisions made by a less qualified individual. A sound method of determining a fair and equitable compensation plan for police chief executives consistent with the economic environment of the jurisdiction is needed. Such a plan should provide for periodic and necessary adjustments, for appropriate differentials between

police chief executives and their subordinates, and for merit increases based on demonstrated experience or performance. Most importantly, a police chief executive's compensation clearly must reflect the authority, duties, and responsibilities of the specific position without regard to the compensation of other elected or appointed officials within the jurisdiction.

Standard 8: A Clear and Mutual Understanding

At the conclusion of the selection process, prospective police chief executives and their future superior or superiors usually have an opportunity to meet and discuss each other's responsibilities, priorities, and enforcement philosophies. At this point, future police chief executives should define and establish the role that the superiors will play in the operation of the police agency, and superiors should determine how the candidate views the police chief executive position within the jurisdiction's governmental structure. Reaching an understanding on such issues as authority over administration of discipline, personnel matters, and implementation of agency goals and objectives is a critical final step in the selection process. Failure to reach a clear and mutual understanding on important matters affecting both parties could create a strained or confused relationship and seriously could hamper development of programs that both may earnestly desire.

Part 3 of the Police Chief Executive Report discusses issues that might confront police chief executives after they have assumed office and suggests means by which those problems might be overcome. Careful attention to the considerations addressed in Part 2, however, could prevent or reduce a great many of those problems.

Standard 1

Preselection Assessment of the Agency

Every appointing authority, prior to selecting a police chief executive, should assess the internal and external strengths, weaknesses, and needs of the police agency to determine agency requirements for the police chief executive position. The assessment will permit the selection of a police chief executive whose qualifications most nearly fit the needs of the agency. This assessment should examine: the general efficiency of the agency, its use of resources to achieve organizational goals, and the relationships among personnel within the agency and between agency personnel and the community served.

Every appointing authority should assess the agency before the police chief executive position becomes vacant. If the position becomes vacant before the assessment is made, the assessment should be conducted without delay.

Every assessment should be conducted by either the appointing authority, a unit of local government, another governmental agency, or by outside professional consultants.

Commentary

The goal of the police chief executive selection process is to secure the best available person for the job. This implies that both the candidate and the

position are known quantities. Most agencies carefully compare and analyze all of the candidates for the police chief executive position. Most agencies, however, do not analyze the demands of the position itself. Appointing authorities should assess the agency and then match the skills of the candidate with the needs of the agency.

It has been stated that, "Too many searches are conducted in ignorance of the problems and issues of the department the new chief is to head. No one would argue that a chief should be selected without thorough study of the applicant's qualifications and background, but similar analysis is rarely applied to the organizational environment within which the new leader must operate."¹

Police chief executive searches will find applicants who possess some measure of experience, integrity, sound judgment, self-confidence, intelligence, the ability to communicate, and other management skills and qualifications. Many candidates will be particularly strong in only some of these desirable qualities and merely acceptable in others. The candidate having specific abilities that meet an agency's specific needs is potentially the best police chief executive.

¹ Michael Kelly, Dean, University of Maryland School of Law, for the Police Foundation and the International City Management Association. *Police Chief Selection: A Handbook For Local Government* (unpublished), pp. 37-8.

In addition to specific abilities most needed by the agency, the candidate must be acceptable in other police chief executive qualifications. Appropriate criteria, as reviewed in Standard 2 of this Report should be used to evaluate all candidates thoroughly, and the minimum qualifications included in Standard 3 should be met.

An agency that is inefficiently organized, for example, could be served best by a candidate who, in addition to other required qualifications, has a strong background in modern police management principles, and who has effectively applied these principles in another law enforcement agency.

The primary benefit of the agency assessment is the selection of the candidate with the skills best suited to the particular police chief executive position. Secondary benefits also result from such an assessment. The appointing authority, who has carried out the assessment, will identify more closely with agency problems and develop a better understanding of the management challenges facing the new police chief executive. If the assessment findings are made available to the new police chief executive, they will assist him in establishing agency priorities, goals, and objectives.

Time Requirements

If a change in leadership is anticipated, the assessment should be conducted before the position becomes vacant. If the position is vacant, the assessment should be conducted in a timely manner and not unreasonably delay the appointment of a new police chief executive.

The time required for the assessment will depend on agency size and complexity, the nature of agency problems, and the expertise of the person or persons conducting the assessment. The following rough time estimates indicate the depth and detail expected in the agency assessment.

For agencies with fewer than 15 personnel, the assessment may take as few as 5 employee-days, if the assessment is conducted within the municipality and formal reports are not required. If an outside professional consultant is used, which is recommended, 5 to 8 employee-days are required for the assessment of an agency with fewer than 15 personnel. Consultants could require between 15 to 20 employee-days to conduct a preselection assessment of agencies with more than 1,000 personnel.

These time estimates are for identifying and measuring the major problem areas within an agency, which are sufficient for a preselection assessment. A more comprehensive survey, which would recommend solutions and include a list of corrective priorities, would require more time.

It may seem that the major problem areas of some agencies are well known, and the management needs are self-evident. In the majority of cases, however, a formal, systematic preselection assessment is necessary.

Who Should Conduct the Assessment

The preselection assessment may be conducted by the appointing authority, a unit of local government, another governmental agency such as a State Police Standards and Training Commission, or by outside professional consultants.

Where State agencies do not provide assessment services, the appointing authority should consider using qualified outside professional consultants to conduct the assessment. Consultants have the advantages of being professional, experienced, objective, and frequently fast working. The Committee recommends that, when possible, outside consultants be retained.

At this time, the police standards agencies in New York, New Jersey, Oregon, and California provide law enforcement agency assessment services to local jurisdictions. For many years, the International Association of Chiefs of Police (IACP), headquartered in Gaithersburg, Md., has provided professional consulting services, including agency assessment, to law enforcement jurisdictions. There are other private organizations that also provide these professional consulting services.

Criteria for Selecting Outside Consultants

An outside professional consultant should be selected with care to ensure the quality of the agency assessment. Some of the questions the appointing authority should ask of or about a prospective consultant are listed below:

1. Has the firm assessed law enforcement agencies of the same size, or larger than the client agency? How many? Will the firm provide the appointing authority with a list of previous assessments so that these clients may be contacted to determine the quality of service provided?
2. Does the firm use full-time professional police management consultants or nonprofessional temporary personnel hired after the receipt of a contract?
3. Will the consulting firm identify in advance the consultants who will participate in the assessment and provide the appointing authority with their relevant biographical data?
4. Have the consultants had extensive professional law enforcement experience and significant ex-

perience in management consulting? Do they possess appropriate academic credentials?

5. What is the degree of practical, street-level law enforcement experience possessed by the firm? Does it appear adequate to permit the objective evaluation of the delivery of police services to the community?

6. Will the consultant submit an appropriate written report within a specified, reasonable period of time?

Conducting the Assessment

If outside consultants with professional expertise are not retained, guidelines should be created that will structure the assessment. An effective evaluation can be conducted only if the evaluators know what they are looking for and where to look. Such guidelines will help the evaluators to avoid a common tendency to begin seeking answers before coherent questions have been formulated. Drucker, et al., summed up this tendency: "The most common source of mistakes (in management) is the emphasis of finding the answer, rather than the right question."²

The general areas that should be evaluated during a preselection assessment are shown in the following list developed by the IACP:

- Organization
- Administrative and Management Procedures
 - Planning
 - Research
 - Direction
 - Supervision
 - Internal control
 - Internal communication systems
 - Fiscal affairs
- Public Information, Press Relations, Community Relations
- Allocation and Distribution of Manpower
 - Selection, promotion, retirement processes
 - Personnel evaluation policies
 - Salary schedule
 - Working conditions and benefits
 - Disciplinary procedures
 - Training
- Field Operations
 - Patrol
 - Tactical
 - Investigative
 - Traffic
 - Vice enforcement
 - Narcotics enforcement

² Peter Drucker, Max D. Richards, and William A. McAlexander, *Readings in Management*, Second Edition (New Rochelle, N.Y.: Southwestern Publishing Company, 1963), p. 282.

Communications

Records Management

Other Service Functions

Custodial facilities and procedures

Property and equipment control system

Laboratory functions

Building space utilization

Relationships With Other Agencies

Criminal justice system

Local, State, Federal enforcement agencies

These general areas may be assessed by the appointing authority in two ways: (1) quantitative data may be reviewed—personnel, management, financial, and field reports should be inspected; (2) personal interviews should be conducted with persons inside and outside the agency.

Strict reliance on quantitative data should be avoided. Qualitative aspects of the agency's operations are as important, if not more important, to an adequate determination of the agency's leadership needs. Personal interviews are the best way to obtain information about the quality of police operations.

Sworn and civilian personnel at all levels within the agency should be interviewed. Such vertical assessment cross-checks opinions and lessens the possible influence of self-serving or inaccurate data and opinions that might be obtained if only one level of personnel were interviewed.

Some of the outside sources that should be contacted during the assessment include, but are not limited to: neighboring police agencies, and regional and State police associations; the local office of the State police or highway patrol; the local office of the Federal Bureau of Investigation; interfacing courts and prosecutors; the local merchants and manufacturers association; labor groups; the local chamber of commerce; the news media; and citizens of the community. During interviews with community organizations and with citizens, the degree of community support for the objectives and methods of the agency, and the level of citizen satisfaction with agency service should be ascertained.

An advanced system for facilitating the assessment of police agencies has been developed by the California Peace Officers Standards and Training Commission. The system is called Peace Officer Standards and Training—Police Administrative Review (POST-PAR). In this system, each management and operational function has been broken down into essential elements. The elements of each function are listed in a checklist format. The elements of any agency function are rated quantitatively and an assessment summary profile can be compiled. Using this checklist system, the primary responsibility for the status of any element can be attributed to the police chief

executive, the city manager or mayor, or the legislative body. The advantage of summary profile formats is that they break down the essential elements of each agency function, and graphically display the degree of attention or modification required by each functional element.

The POST-PAR summary profile format used for assessing one agency function—organization—is shown in Figure 1.1. The formats are used by consultants with professional expertise, and the brief summary descriptions do not describe all of the important considerations that are used to evaluate each functional element.

A description of the numerous factors that should be appraised during an assessment of the management and operational functions of an agency are outside the scope of this document. Many of the factors involved in the effective operation of police agencies are reviewed in the National Advisory Commission on Criminal Justice Standards and Goals *Police report*.

Agency Problems

An expert who had conducted assessments of numerous police agencies stated that the most important problems uncovered during a typical assessment are: (1) a lack of decisive leadership by the police chief executive; (2) failure of the police chief executive to understand his role and how to do his job; (3) poor organization of the agency; (4) lack of a management system and followup controls; (5) lack of training for personnel engaged in specialized activities; and (6) failure of the police chief executive to define and establish priorities and objectives. The expert stated that during police agency assessment he had observed "a fantastic amount of 'lack of decisive leadership' by police chief executives which had severely affected police agency operations."

An example of an organizational structure that did not provide adequate coordination and control was revealed during the assessment of one police agency. The agency's patrol function was organized into three watches, each under the command of a captain. There was no commander in charge of the overall patrol function, and each captain reported to the chief of police. As is true in most large police agencies, much of the chief executive's management time had to be given to numerous other activities both internal and external to the agency. Each captain managed his patrol watch with complete indifference to the patrol activities of the other watches. To make matters

worse, the chief, in order to keep the three captains happy, had divided the patrol force evenly among the watches without regard to workload. The absence of effective coordination and control and the unbalanced workload in the patrol function had seriously affected the effectiveness of this agency.

There are many examples of assessors determining that agencies have no formal procedures for handling personnel complaints or uniformly administering internal discipline. After assessing a small agency, the consultant reported "discipline was so rare and inconsistently applied that it was impossible to make an evaluation [of the disciplinary process]. In the most recent instances of discipline, it appears that no real action was taken; rather, a resort was made to threats of severe punishment. Officers and supervisors were vague about the precise steps taken when a complaint is made on an officer."

Once the specific problems of an agency have been discovered, a realistic selection decision can be made by the appointing authority. The thoroughness and quality of the agency assessment and the appropriateness of the subsequent police chief executive selection may well determine the quality of police services provided the community for many years to come.

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3. National Advisory Commission on Criminal Justice Standards and Goals. *Corrections*. Washington, D.C.: Government Printing Office, 1974.
4. Whisenand, Paul M., and R. Fred Ferguson. *The Managing of Police Organizations*. Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1973.

Related Standards

The following standards may be applicable in implementing Standard 1:

- 2 Evaluation Criteria for Selection of Police Chief Executives
- 9 Assessment by Police Chief Executives

FIGURE 1.1

California Commission on Peace Officer Standards and Training

POST/ PAR		SUMMARY PROFILE						Organization			Responsibility		
POLICE ADMINISTRATIVE REVIEW		Rating Profile											
Factors Rated		0	20	40	60	80	100	Chief	Manager	Council			
1. The legal basis for the department is defined by ordinance or charter.								X	X	X			
2. The present ordinance or charter adequately supports current department operations.								X	X	X			
3. The purpose or mission of the organization, including goals, objectives, and policy is defined in writing and properly communicated to all members of the dept.								X					
4. The department head reports to one, designated administrative supervisor.									X	X			
5. The department has an organization chart.								X					
6. The chart accurately describes the present organization.								X					
7. A copy of the chart is readily available to department personnel.								X					
8. The current organization structure is defined or explained by written directive(s).								X					
9. The organization chart provides for effective lines of communication between levels of authority.								X					
10. The organization structure insures that each employee is directly answerable to one immediate supervisor.								X					
11. The organization chart depicts a reasonable span of control for the department head.								X					
12. The organization chart depicts a reasonable span of control for managers.								X					
13. The organization chart depicts a reasonable span of control for supervisors.								X					
14. The organization chart identifies all functions performed by the department.								X					
15. Similar tasks and functions are grouped in logical arrangements within the organization structure.								X					
16. The organization structure needs revision at this time.								X					

POST PAR 3-106

Attention Imperative
Attention Necessary
Attention Advisable

Excellent
Satisfactory
Attention Desirable

Standard 2

Evaluation Criteria for Selection of Police Chief Executives

Every appointing authority and others involved in the police chief executive selection process should use objective and relevant criteria to evaluate candidates fairly for the position of police chief executive.

Every appointing authority should consider only those candidates who possess these qualities: personal integrity, honesty, leadership ability, good judgment, and commonsense.

Every appointing authority should determine additional personal characteristics that are the most important traits for the head of an agency to possess. The appointing authority should consider such qualities as flexibility and openmindedness, alertness and intelligence, patience and self-control, energy and initiative, and courage and self-confidence.

Every appointing authority should evaluate a police chief executive candidate's potential for future performance. This evaluation should include, but not be limited to, an assessment of field and command experience within law enforcement, education, law enforcement and management training, and professional reputation. The appointing authority also should consider the candidate's personality, personal appearance, and physical fitness.

Every appointing authority should evaluate the candidate's past performance. Most importantly, the candidate should have demonstrated ability to provide effective leadership, to perceive and define

problems, and to obtain desired results through his management efforts. Criteria to evaluate past performance include the candidate's demonstrated ability to: motivate personnel; develop subordinates into effective teams; relate to the community; organize personnel and their functions effectively; administer internal discipline; and establish and communicate objectives and priorities.

Commentary

Defining the necessary abilities, characteristics, and personal traits that an effective police administrator should possess was one of the first and most important tasks undertaken by the Police Chief Executive Committee. The perceptions that people have of their State police director, sheriff, or chief of police seldom can be articulated clearly. Certainly, those responsible for selecting a new police chief executive often disagree about what they should look for in a police leader.

George Eastman, editor of *Municipal Police Administration*, described leadership in the following manner:

Leadership . . . is not synonymous with administration, command, or supervision, although it is an important ingredient of each. . . . The chief, in his multifaceted role,

should be an administrator, a commander, and a leader. Without the basic qualities of leadership, he will not be effective as either an administrator or commander.¹

Edith Sands, in *How to Select Executive Personnel*, discussed the component traits for leader-type personalities in this way:

Actually, [these] traits are no different from those possessed by all men to some degree. What distinguishes a leader from others is the balance and integration of these traits, producing a behavior pattern usually associated with strong men.²

Both authors stress the overall importance of developing balanced leadership qualities. The research for this report found a call for a similar emphasis, particularly in the application of general guidelines to the thousands of different policing agencies throughout the United States.

Leadership of police agencies must be developed. If a systematic approach to selection is to be utilized by those responsible for making the selection decision, basic traits and skills must be identified that will separate qualified and unqualified candidates. It will also be through the development of evaluation criteria and minimum qualifications that the electorate will be able to make a better informed decision at the polls.

In gathering the data that produced the recommendations made in Standard 2, it was hoped that sufficient agreement about various criteria could be reached so that a logical and objective list of suggested factors could be presented. The research sought to determine the attitudes of the two groups most directly involved in police management: police chief executives and their superiors. Where significant disagreement was observed no recommendation could be made, and where a lack of approval was indicated by the data, those criteria are not included in the standard.

Each person involved in the selection decision holds notions that are a part of his or her personal makeup. A variety of viewpoints will not necessarily be a barrier to an appropriate selection decision. In fact a successful selection, using objective and valid criteria, will not rectify differences of opinions. Those responsible for making a police chief executive selection must have available to them as much information as possible about the candidate and the needs of the agency to aid them in making that decision. The recommendations in this Report are made to serve that end.

¹ George D. Eastman, ed., *Municipal Police Administration* (Washington, D.C.: International City Management Association, 1971), pp. 42-3.

² Edith Sands, *How to Select Executive Personnel* (New York: Reinhold Publishing Corp., 1963), p. 39.

Personal Traits for Police Chief Executives

Perhaps the most subjective area that was examined in the research was that of the personal traits police chief executives should possess. Those police chief executives and immediate superiors surveyed were asked to evaluate a set of positive traits (PCE I #4, Superior #5). Desirable attributes commonly associated with good leadership and effective executives were described by pairs of words. The respondents were asked to select the six most significant of the 11 traits listed. Figure 2.1 shows aggregate responses from 1,665 police chief executives and 806 superiors surveyed in the first 6 months of 1975.

The percentages of responses from both the police chief executives and their superiors were nearly the same for the traits integrity/honesty and judgment/commonsense. Because more than 90 percent of the police chief executives and their superiors marked these two traits and their value is widely recognized, the candidate's integrity/honesty and judgment/commonsense must be evaluated during the police chief executive selection process. Fifty percent or more of both the superiors and the police chief executives marked the traits alert/intelligent, energy/initiative, and flexible/openminded. Whether the candidates possess these traits should also be considered during the selection process.

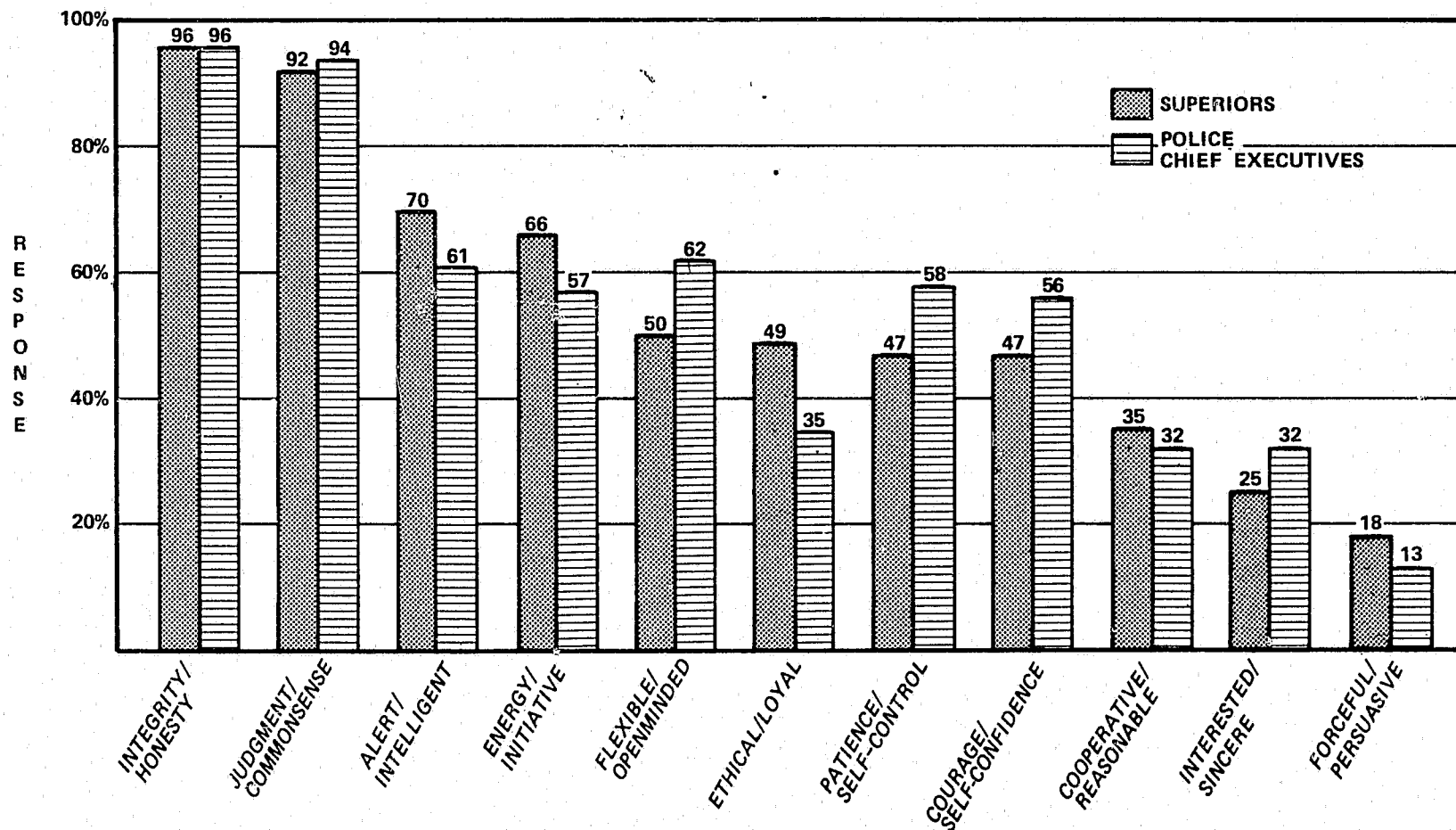
All of the traits are positive characteristics. This question was designed to determine which, if any, were more important than others and to assist selection authorities to develop valid and objective criteria.

How selection authorities will determine the extent to which candidates possess these traits is of equal importance. All of the traits are qualitative, not quantitative. Measuring them in each of several candidates is difficult. Unlike other criteria discussed in this standard, the personal traits outlined must be weighed by reviewers based upon their judgment and perception of the candidates themselves and by background investigation.

This list of personal traits is designed to give appointing authorities a guide to selection criteria. The appointing authorities' questions about the personal integrity, judgment, alertness, energy, flexibility, and patience of candidates should be directed toward the candidates and all other informed sources whenever possible. Former employers and associates, in particular, should be asked to evaluate the candidates on these traits. Although such evaluation will be subjective, selection authorities should endeavor to determine how strong each candidate is in each of these vital areas and should be prepared to utilize the results of those evaluations in making their decision. Evaluations of all of the traits listed in Figure 2.1 should be of interest to selection authorities.

FIGURE 2.1

IMPORTANCE OF TRAITS FOR POLICE CHIEF EXECUTIVES

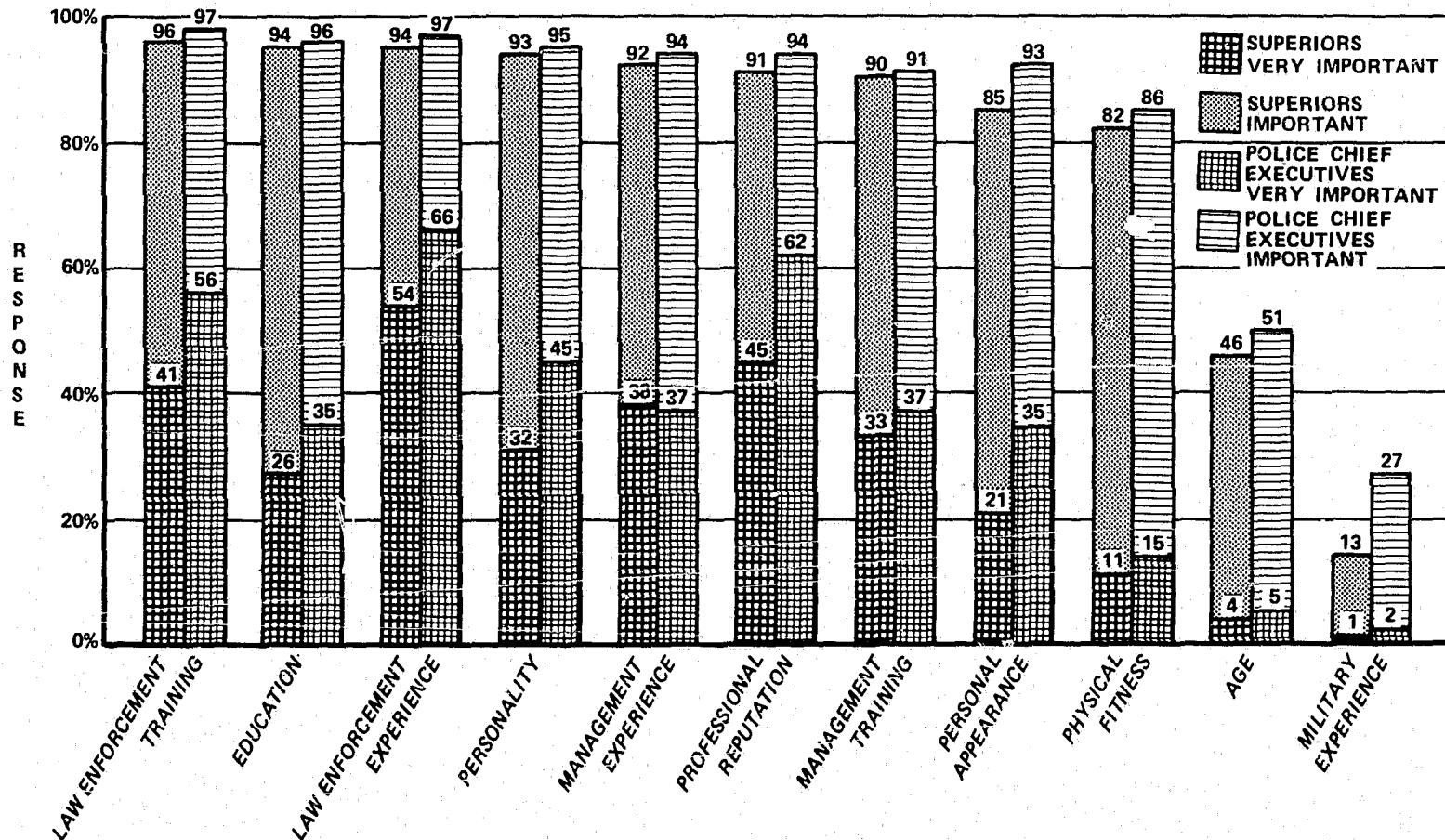


Police chief executives and their superiors selected the most desirable sets of traits for police chief executives to possess. The overwhelming selections were integrity/honesty and judgment/commonsense. All options may be viewed as relatively positive.

SOURCE: PCE I #4
SUPERIOR #5

FIGURE 2.2

FACTORS IN THE SELECTION OF POLICE CHIEF EXECUTIVES



Police chief executives and their superiors rated the importance of 11 factors in the selection of police chief executives. All factors except age and military experience received positive responses from more than 80 percent of both groups. Law enforcement experience received the highest positive response of "very important" from both groups.

Factors in the Selection of Police Chief Executives

Less subjective and more easily measured are a number of professional and personal factors included in this study. Again, as with the personal traits thought necessary for police chief executives, both police chief executives and their immediate superiors were surveyed to determine their attitudes toward specific factors (PCE II #4, Superior #10). Responses from 806 superiors and 1,342 police chief executives were utilized in developing the data. Figure 2.2 reflects the importance attached to the 11 factors by the two responding groups.

More than 80 percent of both groups indicated that all but two of the factors were important or very important in selecting police chief executives. Only age and military experience did not receive a significant number of positive responses.

A further analysis of responses, however, provides a better picture of the attitudes of police chief executives and their superiors. Respondents were asked to indicate whether they believed a particular factor to be important or very important. Sixty-six percent of the police chief executives and 54 percent of their superiors indicated the law enforcement experience was a very important factor in the selection process. Sixty-two percent of the chiefs and 45 percent of their superiors believed that professional reputation was very important, and 56 percent of the chiefs and 41 percent of the superiors believed that law enforcement training was very important. These three factors—law enforcement experience, professional reputation, and law enforcement training—received higher percentages of very important responses from both groups than did any of the other factors (PCE II #4, Superior #10).

A law enforcement background should be a critical evaluation criterion to those involved in the selection process, in spite of the frequent claim that "managers are managers" regardless of the profession. The professional reputation of candidates should be important in the selection decision. That reputation usually is built upon a sound foundation of law enforcement training and experience.

The importance of law enforcement experience was emphasized continually by police chief executives in interviews. Several superiors who were interviewed expressed a similar view, even though they were more inclined to consider candidates without law enforcement experience than were police chief executives. One city manager stated that he would prefer a candidate with experience in another area of the criminal justice system, but that because his community believes the police chief should be a police officer before becoming chief, he would not select a candidate who had no police experience. Another city

manager stated that because the ability to ensure that the fundamentals of a police operation are maintained and developed is so important, an individual with law enforcement experience must lead a police agency.

Even though 94 percent of the superiors and 96 percent of the police chief executives indicated that education was important or very important, only 26 percent of the superiors and 35 percent of the chiefs indicated that it was very important (PCE #4, Superior #10). The Committee believes that because of the extremely high overall support for education on this and other questions, the relatively small percentage of very important responses may indicate that police chief executives and their superiors take for granted that educational achievement should be a selection criterion.

Police chief executives and superiors were asked specifically what level of educational achievement should be a minimum qualification for police chief executive candidates for their agencies (PCE I #2, Superior #6). Forty-five percent of police chief executives and 35 percent of their superiors from agencies with fewer than 15 personnel indicated that a high school diploma should be the minimum educational requirement; only 13 percent of the chiefs and 14 percent of the superiors from agencies with 1,000 or more personnel felt this should be the requirement. Conversely, 52 percent of both the chiefs and the superiors from agencies with 1,000 or more personnel indicated that 4 years of college should be required; 5 percent of the chiefs and 11 percent of the superiors from agencies with fewer than 15 personnel believed that 4 years of college were necessary for a police chief executive candidate. The responses indicate that police chief executives and superiors believe required educational achievement should vary with the size of the agency involved.

A variation in response percentages from small and large agency chiefs and superiors is reflected in their responses to questions about other selection criteria. For that reason, criteria recommended in this standard should be reviewed carefully by the selection authorities for appropriateness and applicability to local circumstances.

Ninety percent or more of both police chief executives and of their superiors indicated that management training and management experience were important or very important selection factors. This strong agreement in the percentages of positive responses suggests that selecting authorities should use these criteria when evaluating police chief executive candidates.

The recommendations for minimum qualifications contained in Standard 3 are based in great part upon the support for criteria identified in this standard. In another set of similar questions regarding factors that

should be included in minimum qualifications, high percentages of positive responses about training and experience criteria can be observed (PCE I #2, Superior #6).

Seventy-eight percent of the police chief executives and 88 percent of their superiors believed some law enforcement training such as basic academy, inservice, or supervisory training should be a prerequisite. At the same time, 64 percent of the police chief executives and 73 percent of their superiors believed some management or executive development training or seminars at the college level should be a criterion for selection.

With regard to experience, 65 percent of the police chief executives and 64 percent of their superiors thought a minimum number of years of law enforcement experience should be a basic requirement, and 73 percent of the police chief executives and 84 percent of their superiors thought that experience should include some command or supervisory experience within law enforcement.

High percentages of both police chief executives and their superiors believe that experience and training should be factors in the selection process, and that these factors should be criteria for minimum qualifications. Because of that, recommended standards for selection emphasize law enforcement and management training and experience.

Management Skills for Police Chief Executives

In an effort to further define the criteria that should be utilized in selecting police chief executives, a series of 14 management skills were developed. Those responding were asked to weigh the importance of each skill on a scale of zero to 10 (PCE II #5, Superior #11). Figure 2.3 shows the overall rating of the 14 skills by both police chief executives and their superiors.

The values shown in Figure 2.3 are averages, and therefore there is a smoothing effect on the importance ratings of the 14 skills. Some individual questionnaires reflected much greater variation in the ratings of management skills than is displayed, but the figure accurately presents average data.

The questionnaires in Appendix 1 will give the reader the full wording of the abbreviated titles found in Figure 2.3.

Police chief executives' responses were slightly higher than superiors' responses in all categories, but the differences were less than one whole point in all cases. The consistency among police chief executives and their superiors in their perception of the importance of the 14 skills is remarkable. Another interesting characteristic of these data is that respondents rated people-related skills higher than they rated

technical abilities. This trend indicates that criteria for effective leadership should emphasize an ability to work with and accomplish agency objectives through the efforts of others.

In their book, *Principles of Management: An Analysis of Managerial Functions*, Harold Koontz and Cyril O'Donnell describe the importance of leadership qualities:

... The part of the manager's job which involves getting things done through people is undoubtedly made easier when the manager is a skillful leader ... the manager who creates and maintains an environment conducive to the effective and efficient performance of those individuals for whom he is responsible will be doing much to assure his leadership position.³

Because it is important for police chief executives to be knowledgeable or experienced in all or most of the listed management skills, they are, with few exceptions, addressed elsewhere in this Report.

Securing and managing grant-funded projects is one skill that received a very high rating in some questionnaires and a very low rating in others. Although no question directly asked if agencies had grant funds, a review of the comments on individual questionnaires suggested that in agencies with no grant funds, that skill was rated low. Averaging of responses caused the importance of securing and managing grant-funded projects to be lower than any other management skill.

The management skills in Figure 2.3 provide selection authorities with a basic list of important factors. Standard 1, which discusses the preselection assessment of the agency, will assist selection authorities in determining particular or special needs of the community or agency. The need of each agency should be met by the qualities the new police chief executive brings to the job. It may be more important, for example, for a new police chief executive to be more experienced in internal discipline than in fiscal management. The needs of the agency are paramount and an awareness of candidates' management skills can help fill the agency's needs.

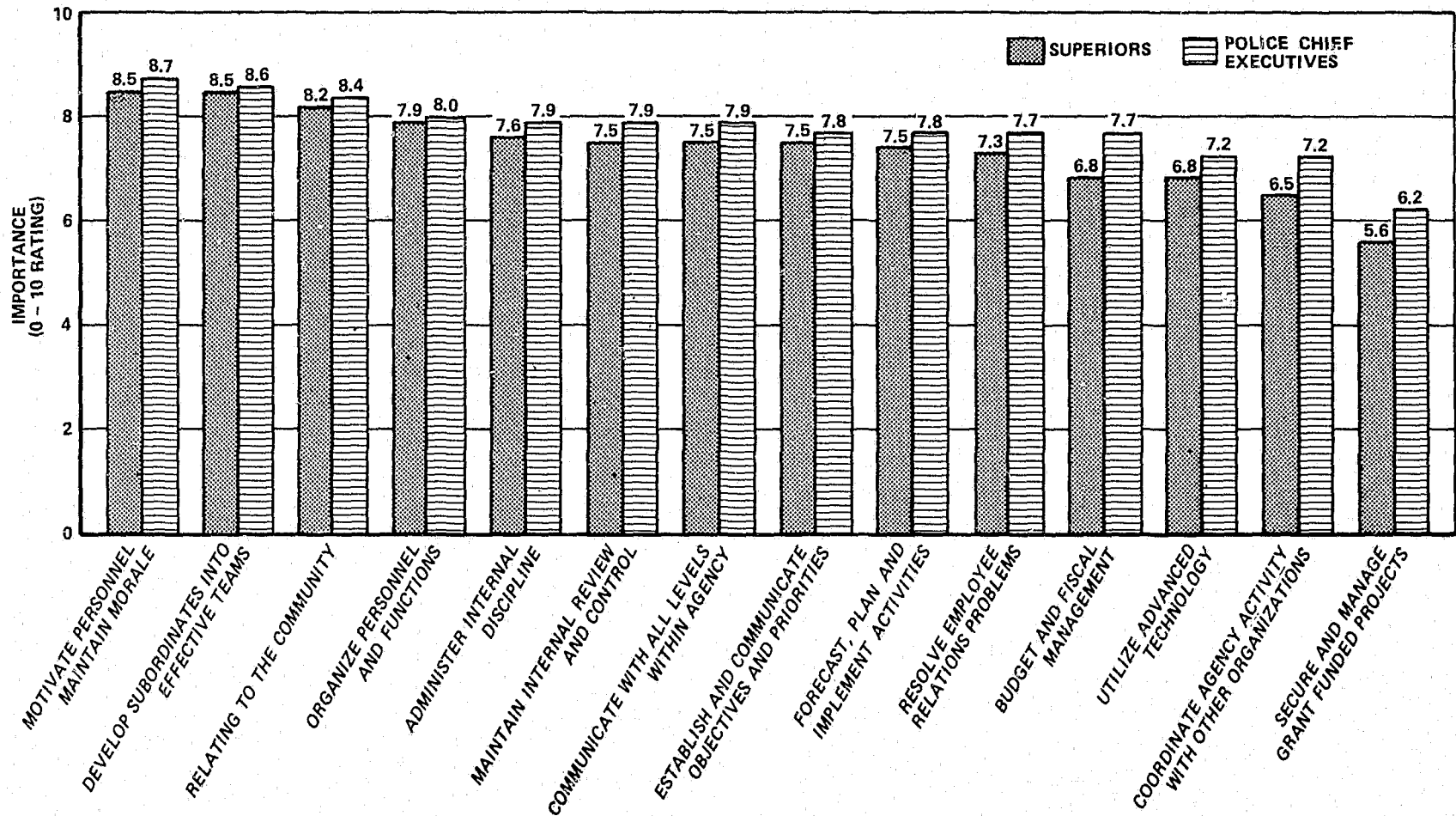
Selection criteria discussed in this commentary will assist those responsible for making a police chief executive selection only if they are applied conscientiously to the selection process. That can be done in many ways, some of which are discussed in other standards of this report.

Standard 2 provides a starting place for selection authorities to develop their own selection criteria. The importance of local jurisdiction input into selection criteria cannot be overemphasized. Local juris-

³ Harold Koontz and Cyril O'Donnell, *Principles of Management: An Analysis of Managerial Functions*, 4th edition (New York: McGraw-Hill, 1968), pp. 612-13.

FIGURE 2.3

IMPORTANCE OF MANAGEMENT SKILLS FOR POLICE CHIEF EXECUTIVES



The importance of fourteen desirable management skills was rated on a scale of zero to ten by police chief executives and their superiors. Both groups agreed that police chief executives must be knowledgeable or experienced in most of the fourteen skills.

dictions must be involved when criteria are proposed for inclusion into minimum qualifications legislation.

The recommendations in this Report are purposely broad and do not discuss in detail the great variation among police agencies in the United States. The application of selection criteria should fit the needs of individual agencies. In particular, the educational and experience criteria should vary with the needs of agencies of different sizes. This flexibility should be addressed by those responsible for selecting a police chief executive, or for making recommendations for legislation affecting the selection process.

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Related Standard

The following standard may be applicable in implementing Standard 2:

- 1 Preselection Assessment of the Agency

Standard 3

Minimum Qualifications for Future Police Chief Executives

Every State should enact legislation that establishes minimum qualifications for future police chief executives of State, county, and municipal police agencies within the State. Minimum qualifications should be adopted for elective as well as nonelective police chief executive positions, and for the chief executives in police agencies of every size. Minimum qualifications established for the selection of future police chief executives should not apply retroactively to incumbent police chief executives.

Every local jurisdiction should establish minimum qualifications for future police chief executives pending the enactment of State legislation. Local minimum qualifications may exceed minimum qualifications proposed or enacted by the State.

Minimum qualifications for the police chief executive position will vary with the type and complexity of the police agency. Agency size, as an indicator of agency complexity, may be used to differentiate required qualifications.

Every State or local jurisdiction should consider these qualification factors:

1. **Experience.** Every State or local jurisdiction should require that new police chief executives have a minimum number of years of law enforcement experience including some basic field experience and command or supervisory experience within law enforcement. In agencies with more than 75 personnel,

two-thirds of the required experience should be in command or supervisory positions. Experience requirements should vary with the size and type of the agency.

2. **Training.** Every State or local jurisdiction should establish minimum supervisory and management training requirements for new police chief executives. Training requirements should vary with the size and type of the agency.

3. **Education.** Every State or local jurisdiction should require that new police chief executives of agencies with more than 75 personnel have at least 4 years of education (120 semester units or a baccalaureate degree) from an accredited college or university.

Every State or local jurisdiction should require that new police chief executives of agencies with fewer than 75 personnel have at least 2 years of education (60 semester units) at an accredited college or university. Such jurisdictions should require that the new police chief executives have at least 3 years of education (90 semester units) at an accredited college or university by 1978 and at least 4 years of such education by 1982.

Commentary

The importance of a police chief executive to the

quality of law enforcement service provided by an agency is well described by V. A. Leonard and Harry W. More in their work *Police Organization and Management*:

Leadership is the most important single factor in the success or failure of police operations. Invariably in observing a successful police organization one finds a strong executive who has been the driving force in elevating the level of performance. Conversely, where mediocrity or failure characterizes the work of a police organization, it generally can be traced to incompetence in management. The fundamental basis for the success of a police enterprise is to be found in the ideas and efforts of the police chief executive.

Minimum standards for police chief executives should be set to ensure the selection of qualified police chief executives, thereby establishing the basis for a successful police enterprise.

The National Advisory Commission on Criminal Justice Standards and Goals recognized the need for minimum standards in its *Police* report: "Every State, by 1975, should enact legislation establishing a State commission empowered to develop and enforce State minimum mandatory standards for the selection of police officers." (Standard 13.4). Forty States have thus far established minimum qualifications for entry-level officers.

Although entry-level standards for police have been established by most States, minimum qualifications for police chief executives virtually have been ignored. In many States, an individual who does not meet the minimum qualifications for an entry-level officer can, nevertheless, be selected to head the police agency. Minimum qualifications for police chief executives should not only be established, but should be considerably higher than those for entrance level officers.

The State of Maine has a voluntary certification program that establishes education, training, and experience standards for new police chief executives. Individual agencies also have moved ahead and established minimum qualifications for their own police chief executive positions. The Director of the Arizona Department of Public Safety, for example, is required to have a bachelor's degree.

A bill was recently introduced in the Ohio General Assembly that would set minimum qualifications for future sheriffs.¹ The proposed qualifications include minimum age, a specified educational level, experience in general law enforcement, and successful completion of the Ohio Peace Officers Training School.

¹ Ohio Bill # H.B. 444, 111th General Assembly, Regular Session, 1975-76.

Not only is it important that Ohio and other States have sought to establish minimum qualifications for sheriffs, but it is significant that the requirements will relate to elected positions. In nonelective police chief executive positions, the appointing authority may set requirements that must be met by all candidates.

On the other hand, any person who files for election and has a large percentage of supporters conceivably can be elected to a sheriff's position. The Ohio bill, if passed, will assure the public that those persons on a sheriff's ballot have met at least basic qualification requirements for the position sought.

Bills have been introduced in other States to establish minimum standards for sheriffs. According to persons interviewed, these bills have failed generally because legislators, who are themselves elected, have not wanted to establish a precedent of requiring minimum standards for elected officials.

Ninety-six percent of the nonelected police chief executives and 95 percent of the sheriffs (generally elected) indicated that there should be some minimum qualifications for police chief executives (PCE I #1). This willingness of elected and nonelected police chief executives to establish minimum qualifications indicates that the law enforcement community acknowledges a need for higher police chief executive professional standards. Minimum qualifications must be applied to all police chief executives as the first step toward developing not only a higher caliber of service, but one that is comparable throughout law enforcement jurisdictions.

Police chief executives' superiors added strong support for minimum qualifications. There is agreement among police chief executives and their superiors that minimum qualifications should be established (Table 3.1).

More than 90 percent of police chief executives and their superiors have indicated that police agencies with 15 or more personnel should have minimum standards. Fifteen percent of police chief executives of agencies with fewer than 15 employees and 19 percent of their superiors want minimum qualifications for larger police agencies only. Only a small percentage of police chief executives do not want any minimum standards for police chief executives (PCE I #1, Superior #4).

Except in very small police agencies, the relative size of the respondent's agency does not significantly alter his opinion. The police chief executives' responses suggest that, although the heads of smaller agencies are somewhat less supportive of minimum

Table 3.1. Question: In your opinion, minimum qualifications should be established for police chief executives for: (mark one only)

	PCE's %	Superiors %
All police agencies	77	73
Police agencies with 15 or more personnel	12	14
Police agencies with 75 or more personnel	5	5
Police agencies with 150 or more personnel	2	2
No police agencies, minimum qualifications not necessary	4	7

Source: PCE I #1 and Superior #4.

standards, 78 percent of them do not want their agencies excluded from a move to upgrade police chief executives' qualifications.

The minimum qualifications standards, when adopted, will in some cases upgrade the minimum qualifications now adhered to by various agencies for selecting police chief executives. For this reason, the standard should be applied only to future police chief executives. These standards were strongly supported by current practitioners, some of whom do not meet the recommended standards, but who have proved their professional competence through performance. To apply the standards retroactively would represent unacceptable ex post facto administration.

Because Standard 3 was developed for use as an absolute minimum throughout the United States, it is anticipated that individual States desiring even higher qualifications for their police chief executive applicants will adopt more comprehensive standards. Certain States may wish to make the minimum qualifications broad enough to apply reasonably to police chief executives in all local jurisdictions within their boundaries. States that contain many various size agencies may require higher minimum qualifications for larger agencies than for smaller ones.

Many of the larger, more complex agencies may require higher minimum standards than those anticipated or adopted by their State. Additionally, some agencies may not wish to wait for their State to adopt

minimum standards. For these reasons, individual jurisdictions should exercise initiative and establish their own minimum qualifications.

The courts have interpreted the Civil Rights Act of 1964 as prohibiting practices that are discriminatory in their effect at entrance and promotional levels. Therefore, minimum qualifications must be job related. Any minimum qualifications requirements for a police chief executive position must be shown, if challenged on the basis of discrimination, to be related to the position being sought.²

When asked what criteria are important in selecting a police chief executive, respondent police chief executives and their superiors consistently supported experience, training, and education. Figure 2.2 (Standard 2) shows that 96 percent of police chief executives and 95 percent of the superiors believe that law enforcement experience is an important or very important consideration in selecting a police chief executive (Superior #10, PCE II #4).

Experience

The selection of police chief executives should be based in part on the candidate's demonstrated ability and proven performance. Experience in itself does not prove that the candidate can perform well, but merely provides the opportunity to perform. An evaluation of the candidate's employment experience should reveal demonstrated ability and proven performance.

Survey responses indicate that police chief executives and their superiors believe that candidates must have some law enforcement experience, that some of the experience must be in a command or supervisory (management) position, and that experience outside the law enforcement field should not substitute completely for law enforcement experience.

In a question defining what factors should be included in minimum qualifications for police chief executives, 65 percent of the police chief executives and 64 percent of their superiors indicated that law enforcement experience should be among the minimum standards for future police chief executives in their jurisdictions (PCE I #2, Superior #6).

Law enforcement experience is usually gained in traditional, public law enforcement agencies that have general enforcement responsibility. Although the traditional police agencies provide an opportunity to gain valuable experience, it may be supplemented

² *Griggs v. Duke Power Company*, 401 U.S. 424, Mar. 8, 1971.

by some experience in other criminal justice agencies. Some experience in probation, corrections or prosecutorial agencies provides a valuable perspective of the criminal justice system.

The amount of law enforcement experience that police chief executives have varies by size and type of agency, and even by geographical location. Table 3.2 shows the amount of law enforcement experience current police chief executives had prior to their appointment as head of their agencies and tenure in their present positions. State agency heads have much more experience than the 13.3-year average for all police chief executives. The amount of law enforcement experience of police chief executives increases substantially in each of the ascending size categories of agencies. Additionally, experience in the New England, Pacific, and Middle Atlantic States is higher than experience in the remaining six census divisions.

Appendix 3 contains an analysis of the years of law enforcement experience prior to appointment as a police chief executive reported by respondents from city and county police agencies, sheriffs' agencies, and State police and highway patrol agencies. Interestingly, the middle 50 percent of chiefs and sheriffs of agencies with fewer than 15 employees had between 2.7 and 10.8 years of law enforcement experience, and heads of agencies with 1,000 employees or more had between 18.2 and 28.5 years of experience (PCE I #L and #N).

There are few police chief executives who had no prior law enforcement experience when they became the head of a police agency. It is the consensus of the Committee that unless such a person has had in-depth police or related criminal justice experience, his chances for immediate successful performance are severely limited.

Comments of police chief executives and their superiors, obtained through interviews, strongly support the need for a substantial amount of experience as a minimum qualification. One prominent police chief indicated that the most important qualification is a good performance record gained through practical experience in a law enforcement agency.

Although 35 percent of police chief executives and 26 percent of their superiors said education was a very important factor in selecting police chief executives, 66 percent of the chiefs and 54 percent of their superiors said law enforcement experience was a very important consideration (PCE II #4, Superior #10). Until an individual has performed successfully as a supervisor and a manager in a law enforcement agency, he has not met, in the opinion of present police chief executives and their superiors, the minimum qualifications necessary to be a police chief executive.

Table 3.2. Experience and Tenure of Police Chief Executives

By type and size of agency and census division

	Years in present position	Years in law enforcement before present position
Type of Agency		
State	4.0	21.2
Sheriff	6.7	10.3
City/County	5.4	13.9
Size of Agency		
1,000 + personnel	3.6	23.0
400-999	4.3	20.4
150-399	6.0	19.0
75-149	5.9	18.0
15-74	6.0	13.6
1-14	5.6	7.5
Census Division		
New England	6.0	16.8
Middle Atlantic	6.0	15.4
E/N Central	5.8	12.4
W/N Central	6.0	10.3
South Atlantic	5.4	12.6
E/S Central	5.0	10.9
W/S Central	5.9	12.3
Mountain	4.8	12.3
Pacific	5.5	16.3
Totals	5.7	13.3

Source: PCE I #L and #N.

A common theme through all the interviews was that management and executive experience are much more important to a police chief executive than is experience as a patrol officer at the street level. A police chief executive stated that although a police chief executive needs insight into everyday police work and into first-hand supervision, a good percentage of his law enforcement experience should be in a management capacity. Survey responses indicate that 84 percent of the superiors and 73 percent of the police chief executives believe that some supervisory or command experience within law enforcement should be a minimum standard for future police chief executives for their agencies (PCE I #2, Superior #6).

When asked to estimate the percentage of their time they spend on a variety of activities, police chief executives said they spend 36 percent of their time on internal management. In large agencies with

1,000 or more employees, police chief executives spend nearly one-half of their time on internal management, and the heads of departments with fewer than 15 employees spend 21 percent of their time on internal management (PCE I #6).

The survey responses support the requirement of a minimum of law enforcement supervisory or management experience for police chief executives. The size of the agency and the complexity of the administrative job must be considered: the minimum number of years of experience required may vary with the size of the agency. But because police chief executives in all but the smallest agencies are primarily administrators, two-thirds of their law enforcement experience should be in supervision and management.

The larger organizations offer numerous command and supervisory opportunities in which a candidate may obtain management experience. The opportunity to acquire management experience is severely limited in the smaller agencies, however.

In some instances, experience in other than a law enforcement field, or job-related education, may be an appropriate substitute for a certain amount of law enforcement experience. In no case, however, should substitutes be totally accepted in lieu of prior law enforcement experience. In fact, law enforcement experience is so important that few police chief executives or their superiors would recommend the substitution of supervisory experience outside the field of law enforcement for some law enforcement experience. Twenty-five percent of the police chief executives and 40 percent of their superiors indicated that they would recommend such a substitution (PCE I #2, Superior #6).

The *Police* report stated that, "Formal education and training provide the individual with the knowledge and skills necessary to upgrade his level of performance and prepare him for greater responsibility in another position" (Standard 17.2). Until an individual has demonstrated the ability to apply education and utilize training, however, he is a poor risk as a police chief executive.³

Consideration must be given not only to the amount of experience, but also to the quality of experience. Agencies that are large enough can help develop future police chief executives by varying the assignments of their talented sworn personnel every 1 or 2 years to give them a variety of experience. One police chief suggested that an officer in one assignment for 4 years had 1 year of experience four times over, while another who had four assignments in 4 years actually had 4 years of experience.

³ National Advisory Commission on Criminal Justice Standards and Goals, *Police* (Washington, D.C.: Government Printing Office, 1973), Standard 17.2, p. 429.

Because 1-year assignments reduce agency effectiveness, some police agencies require a minimum of 1½ years in every assignment.

The professional development of personnel requires far more than a variety of experience. Chapter 17 of the *Police* report touches on development, promotion, and advancement of police personnel.

Training

A majority of the police chief executives surveyed indicated that some law enforcement and management training should be required for future police chief executives. Training tends to refine executive capabilities derived from innate leadership ability and meaningful work experience. It broadens police chief executives by exposing them to law enforcement and management concepts and principles. Without training, a newly appointed police chief executive is likely to have "blind spots" in his view of the way to lead the organization effectively. For the two-thirds of the police chief executives who advanced from within their organization, training is especially important to prevent agencies from becoming ingrown (PCE I #M).

The importance of training is reflected in the survey results. Ninety-seven percent of police chief executives and 96 percent of their superiors believe that law enforcement training is an important or very important factor in the selection process (See Figure 2.2, Standard 2). Additionally, 91 percent of police chief executives and 90 percent of their superiors feel that it is important or very important that police chief executive candidates have specialized management training (PCE II #4, Superior #10). Additional data were collected that revealed that 78 percent of police chief executives believe that law enforcement training should be a minimum standard for future candidates for their agencies. Eighty-eight percent of the superiors were supportive of this position (PCE I #2, Superior #6).

No attempt was made in the surveys to determine the quality or quantity of training required for police chief executive candidates. Every State should consider the requirements for police chief executives within the State and establish minimum qualifications to meet those requirements.

The type of training considered in the survey questionnaires covered two broad categories: basic law enforcement training and management or executive development training.

Basic law enforcement training includes basic police academy curricula, inservice courses for officers at the basic rank, and supervisory schools for lower management positions. In the majority of agencies where such training is available, the police chief

executive candidate is exposed to it early in his police career.

The *Police* report recommended that law enforcement training should be State-mandated and should consist of at least 400 hours of basic police training (Standard 16.3). Forty States have adopted standards for entry into the police agency, and have established minimum training requirements for sworn police employees. New police chief executives should have a training background that surpasses the State-mandated minimum for entering policemen. Candidates for police chief executive who lack sufficient basic training should receive training through specialized and supervisory courses rather than basic training courses.

Interestingly, police chief executives in the Pacific census division were the only census group that gave a higher percentage of positive responses to management or executive development than to law enforcement training (PCE I #2, Superior #6). Table 3.3 indicates that 85 percent of police chief executives and 87 percent of their superiors in the Pacific census division believe that management or executive development training should be minimum qualifications for future police chief executive candidates. Their preference for law enforcement training was 68 percent and 78 percent respectively.

Table 3.3. Law Enforcement and Management Training as Minimum Qualifications for Police Chief Executives

By census division

	Law enforcement training necessary		Management or executive development training necessary	
	Superior %	PCE %	Superior %	PCE %
New England	91	81	75	77
Middle Atlantic	93	79	74	65
E/N Central	90	78	64	69
W/N Central	93	85	71	47
South Atlantic	88	76	79	60
E/S Central	91	77	48	41
W/S Central	87	83	70	56
Mountain	84	78	74	56
Pacific	78	68	87	85
Totals	88	78	72	63

Source: PCE I #2 and Superior #6.

Some police academies in large agencies offer management training programs, often in conjunction with educational institutions. The International Association of Chiefs of Police (IACP), the Federal Bureau of Investigation (FBI), and some Peace Officer Standards and Training programs provide various management courses. Educational institutions give specialized management institutes and semester or quarterly management courses. Private management groups provide management seminars, some of which are tailored to government or law enforcement needs.

An advanced police chief executive program for future police chief executives exists in West Germany, where there is a strong commitment to such training. The program is conducted at the National Police Institute for a period of up to 1 year. Advancement within their police organization seldom occurs unless an individual has completed the course. England also has a national police college (Bramshill House) that provides executive training for present and future leaders of the police service. The United States also has prestigious developmental programs. The FBI National Academy graduates 1,000 police personnel each year who may pass their knowledge on to their respective agencies. The Northwestern University Traffic Institute, the Southern Police Institute, and the University of Southern California's Delinquency Control Institute are other groups that develop police executive talent.

A discussion of the need for regional and national executive enrichment programs for police chief executives is included in Standard 16. Much of the information in that standard can be applied to the training of police chief executive candidates.

Formal Education

Although education of personnel is certainly not a cure-all for law enforcement agencies, education for police officers on all levels can upgrade the quality of police service. Rocky Pomerance, former president of the International Association of Chiefs of Police, wrote in the August 1975 edition of *Police Chief*: "It is my belief that as people grow in knowledge, they develop the more desirable characteristics of empathy, sensitivity, and compassion, as well as broader decision-making capability, thus becoming more effective in their interactions with others."

The National Advisory Commission on Criminal Justice Standards and Goals, in its *Police* report, recommended certain minimum educational standards for entry-level law enforcement officers. The justification for minimum education requirements was based on a variety of data indicating that college-educated officers are better suited to police work

than are officers who lack such schooling (Standard 15.1).

The *Police* report pointed out that, unless police agencies increase educational requirements to the college level in the near future, the educational level of police officers will be below the educational level of the Nation's population. The report stated:

A 1971 Bureau of the Census survey revealed the following about the level of education of the Nation's population:

- Of the 127 million people 20 years of age and older, 60 percent are high school graduates;
- Of the white collar workers between ages 25-64, 87 percent are high school graduates; . . .
- Among persons between the age of 20-29 (prime recruiting ages for the police), 80 percent are high school graduates or have attended college; and
- Among persons between the ages of 20-24 who have completed high school, nearly 45 percent have completed at least 1 year of college.

The *Police* report proposed the following schedule:

- (1) Every police agency should, no later than 1973, require as a condition of initial employment the completion of at least 2 years of education (60 semester units) at an accredited college or university.
- (2) Every police agency should, no later than 1978, require as a condition of initial employment the completion of at least 3 years of education (90 semester units) at an accredited college or university.
- (3) Every police agency should, no later than 1982, require as a condition of initial employment the completion of at least 4 years of education (120 semester units or a baccalaureate degree) at an accredited college or university (Standard 15.1).

In view of the minimum educational standard for entry-level officers and considering that as an individual rises from the entrance level to be a police chief executive his duties, functions, and responsibilities broaden, minimum educational requirements must be established for police chief executives.

Survey figures indicate that superiors of police chief executives have a significantly higher regard for formal college education as a minimum qualification than do police chief executives (PCE I #2, Superior #6). The data indicate that a higher percentage of both police chief executives and their superiors in agencies with 75 or more personnel than of heads of smaller agencies give greater support for a 4-year college degree as a minimum educational requirement. The associate degree has greater support from respondents in jurisdictions with fewer than 75 personnel than does a bachelor's degree.

Small police agencies still give strong support for education as a minimum requirement for their chiefs and sheriffs, however. In police agencies with fewer than 15 personnel, 95 percent of the police chief executives and 87 percent of their superiors believe education is an important or very important

factor in selecting an agency head (PCE II #4, Superior #10). Ninety-four percent of the non-elected superiors of small police agencies indicate that education is important or very important in selecting a police chief executive. In police agencies with 1,000 or more personnel, 100 percent of the chiefs and 96 percent of their superiors responded that education is an important or very important consideration.

The existing educational level of police chief executives was surveyed for this Report. Figure 3.1 shows the level of educational achievement by census divisions. The educational level achieved by police chief executives in the Pacific census division is significantly higher than the rest of the Nation. This may be explained by the fact that California has been fortunate to have numerous educational institutions available to the police profession.

In 1964, there were 54 colleges in California offering degree programs in police science, criminology, or police administration. In the same year, there were only 36 colleges in the rest of the Nation offering such courses. Since that time, the number of police science, criminology, and police administration courses throughout the nation has increased significantly. It is anticipated that, in another decade, the educational level of police personnel of all ranks nationally will increase.

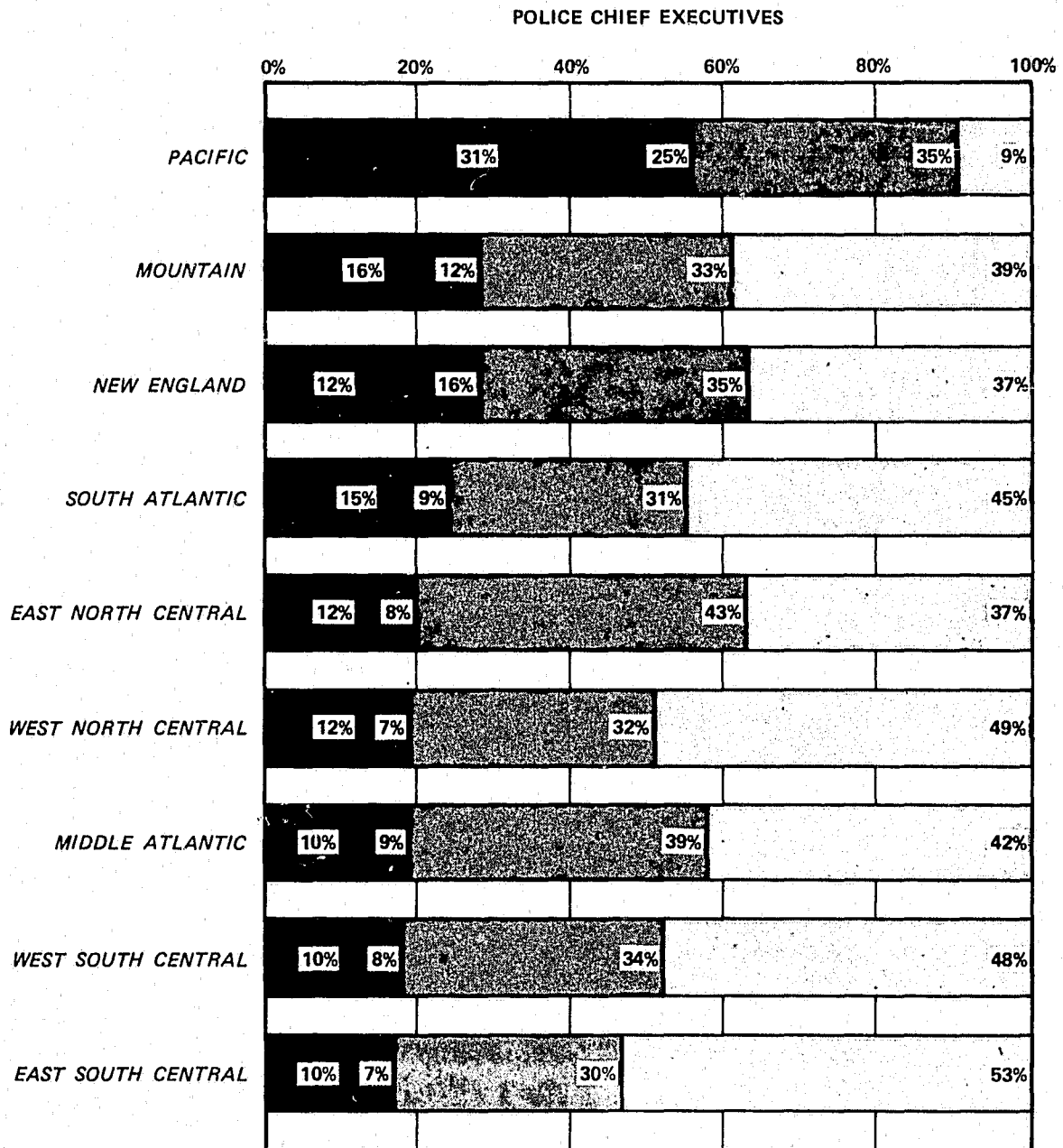
During the interview stage of this project, one city manager emphasized the importance of formal education: "Police personnel, and especially the police chief executive, are engaged in a problem-solving role with members of society, and will be at a considerable disadvantage if they are dealing with a society which is more highly educated than themselves."

Although police practitioners agree with the value of a college education, they disagree about what subjects in college best prepare a person for police work. Some chiefs support specialties in police science and criminology while others want their men to have a broad education in the social sciences. The *Police* report recommended the establishment of a national body to identify the educational needs of police managers and to prepare a model curriculum. A national body such as this has never been established even though the need for a standardized curriculum is still great.

One chief of police suggested that every police chief executive should have a sound background in economics to function effectively as an agency head. Another stated that police chief executives should have a good education in semantics because "what the police chief's job is all about is effective two-way interpersonal communications both internal and external [to the agency]." Many police personnel

FIGURE 3.1

EDUCATION LEVEL OF POLICE CHIEF EXECUTIVES (BY CENSUS DIVISION)



BACCALAUREATE DEGREE
OR HIGHER



ASSOCIATE DEGREE



SOME COLLEGE



HIGH SCHOOL
OR LOWER

have pursued courses of study in criminal justice programs, while others have emphasized study in the social sciences and deemphasized the need for criminology and police science.

Reasonable educational requirements should include courses of study that are related to the knowledge required and tasks performed by police chief executives. This Committee believes that job-related courses of study are included in, and may not necessarily be limited to, the major educational fields of administration, criminal justice, and the social sciences. Such courses include:

Finance	Criminology
Law	Police Science
Economics	Sociology
English	Psychology
Political Science	Business Administration
Accounting	Public Administration

Fifty-eight percent of the police chief executives and 65 percent of the police chief executives' superiors indicated they believed training institutes, seminars, and law enforcement academy training could substitute for some formal education (PCE I #2, Superior #6). When evaluating a police chief executive candidate, consideration should be given to personal characteristics, previous experience, and completion of formal training programs as substitutes for minor deficiencies in formal education. Various programs such as training academies, special training programs, and management development institutes provide insight into organizational operations and could prove to be suitable substitutes for some formal education. Training need not be limited to police courses. Many universities offer management training, which can benefit police chief executives.

For those who meet minimum qualifications, except for the required amount of formal education, an alternative may be appropriate. Alternatives to

minimum educational requirements, if allowed, should be approved by the police standards board of each State. Such alternatives should be applied cautiously, based upon the needs of the individual communities and the merit of the compensating qualifications, and should not replace all the educational minimum standards for police chief executives.

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Related Standards

The following standards may be applicable in implementing Standard 3:

- 4 Certification of Police Chief Executive Candidates
- 7 Compensation for Police Chief Executives

Standard 4

Certification of Police Chief Executive Candidates

Every State should enact legislation to establish a certification program to verify that future police chief executive candidates possess minimum qualifications established by the State. Such legislation should permit the certification of all candidates, including those from outside the State, who possess the minimum qualifications. Every State should consider certification reciprocity where minimum standards for certification are comparable. Only certified candidates should be eligible for appointment or election to a police chief executive position.

Every State or local jurisdiction should continue to evaluate incumbent police chief executives on the basis of their performance in the position.

Commentary

In many professional and semiprofessional occupations, a process has been developed to certify that practitioners have the basic qualifications necessary to provide their services to members of the community. Physicians, attorneys, and teachers are required to have some form of State approval before they can practice. Through the development of qualification standards and certification, community confidence in these occupational groups and the quality of service provided by them have been raised considerably.

A similar process of certification has been initiated in the police profession. Most States have now established minimum qualifications and certification processes for entry-level police personnel. No position has greater influence on the quality of police services provided by an agency than the police chief executive position. The Committee, therefore, recommends that the police certification process be expanded to verify that future candidates for police chief executive possess minimum qualifications established by the State as outlined in Standard 3 of this Report. Only certified candidates should be eligible for appointment or election to police chief executive positions.

As indicated in Table 4.1, certification of future police chief executives is strongly supported by both elected and nonelected police chief executives surveyed for this Report. More than two-thirds of the chiefs of police, 61 percent of the sheriffs, and 55 percent of the heads of State agencies agreed or strongly agreed that formal certification programs would be a good method of verifying the qualifications of police chief executives (PCE I #3).

There were no significant differences of opinion by census region from police chief executives on the question about certification. The agreement level ranged from 60 percent in the East South Central States to 70 percent in the South Atlantic States.

A former chief of police, who is a consultant with a State Peace Officer Standards and Training Commission, expressed the opinion of many by stating:

There are no educational or experience requirements for police chief executives, and this represents the area of greatest need for law enforcement. There should be a form of certification for police administrators that takes into consid-

eration the various sizes and complexities of law enforcement agencies.

The sheriff of a large agency strongly supported certification with the statement:

Certification of qualifications would be especially important in providing assurance that elected sheriffs are qualified, and not just politicians.

Table 4.1. Formal certification programs at the regional or State level would be a good method of verifying the qualifications of police chief executives.

Number of Personnel	Police Chief Executives				Superiors		
	Agree and Strongly Agree						
	State	Sheriff	City/Co.	All Agencies	State	City/Co.	All Agencies
1,000+	54	*	79	70	25	19	21
400-999	46	42	53	49	50	16	21
150-399	83	57	64	64	*	30	30
75-149	*	57	59	59	*	40	40
15-74	—	57	71	69	—	50	50
1-14	—	67	68	68	—	59	59
Totals	55	61	68	66	40	46	46

Source: PCE I #3, Superior #7.

* Too few agencies to indicate.

As shown in Table 4.1, only 46 percent of the superiors agreed with the concept of certification, compared with 66 percent of the police chief executives. Superiors were also less certain about the concept. Twenty-seven percent of the superiors were not sure, compared with 17 percent of the police chief executives who were uncertain (Superior #7).

Personal interviews showed that, although many superiors believed that a certification program would verify minimum qualifications, some believed that it may restrict their ability to select from a broad enough field of candidates. A former city manager expressed concern that a certification program might exclude candidates who did not have a law enforcement background, but who possessed exceptional management capabilities.

It is interesting to note that there is significantly less support for a certification program from the superiors of large agencies than from the superiors of smaller agencies. There was an agreement level of only 21 percent among the superiors of the largest agencies, while 59 percent of the superiors of the smallest agencies agreed or strongly agreed with the concept of certification (Superior #7).

Certification Program in the State of Maine

The State of Maine has instituted a basic certification program for police chief executives, including sheriffs.

Although the Maine program currently is voluntary, it is an effective first step and a guideline for legislation in other States. The program includes: criteria for certification; provisions for recommendations by the police chief executive's immediate superior, except in the case of sheriffs; a "grandfather clause" for incumbent police chief executives as of Feb. 1, 1974; provisions for renewal after specified periods of time; and weighted criteria for training, education, and law enforcement experience that permit candidates lacking in one area to compensate with additional credit in another area.

To be eligible, applicants must be on the threshold of appointment as a police agency head within Maine; have police experience within Maine or outside the State; or have education, training, and experience that meet the approval of the State board. Applicants with 2 years of law enforcement experience must have a baccalaureate degree and 40 train-

ing points. (Twenty classroom hours of approved police training qualifies for one training point.) With more years of experience, less education and fewer training points are required. Additionally, within 1 year, the applicant must complete satisfactorily an executive development course approved by the State board. Executive certificates are issued for a 2-year period and may be renewed.

The complete text of the Maine Police Chief/Sheriff Certification Criteria appears in Appendix 2.

Administration by the States

The Committee recommends that certification programs for police chief executives be administered by State Peace Officer Standards and Training Commissions. Under State legislation, these commissions now administer minimum qualification standards for entry-level personnel. In a majority of States, commissions also determine what the minimum standards will be. The certification process currently used by most of these commissions for entering personnel can be expanded to include police chief executives after the minimum standards referred to in Standard 3 are established. This will provide uniform application throughout each State, increase reliability and control, and promote confidence in the certification program. Additionally, local jurisdictions would be spared the administrative costs involved.

The process should certify all candidates who possess the minimum qualifications quickly and should not delay local jurisdictions unreasonably in the selection and appointment of police chief executives.

Certification programs should apply to candidates for police chief executive positions, not to those who already hold the position. Incumbent police chief executives as a group strongly supported Standard 4, and should continue to be evaluated on the true test of ability—performance. Certification requirements should never be applied retroactively.

Reciprocity

Where minimum standards are comparable, States may wish to consider reciprocal recognition of certification. Another alternative is to permit recertification in one State based largely on the qualifications acquired in another State. For example, in the State

of Oregon, certificates from most other States are accepted in satisfying the majority of requirements for entry-level officers. An examination covering Oregon laws must be passed or an 80-hour basic law course completed, however. Within the police profession, reciprocity would permit local jurisdictions, where necessary, to widen greatly their search for the best police chief executive candidates.

Before certification in another State is accepted in the hiring State, an investigation should be conducted to ensure the integrity of the certification requirements and procedures in the State from which the reciprocity agreement is being considered.

Conclusion

Certification is only an initial step in the screening process of candidates. Certification verifies only that candidates possess basic minimum qualifications, and does not guarantee ability to perform as a police chief executive. Appropriate criteria, as reviewed in Standard 2 of this Report, should be used to evaluate all candidates thoroughly. A formal selection process, as outlined in Standard 6, is still essential when selecting a police chief executive.

Certification programs should motivate potential candidates toward personal development in seeking to meet certification requirements. If adopted in every State, certification will serve to upgrade the quality of police leadership throughout the Nation.

References

1. National Advisory Commission on Criminal Justice Standards and Goals. *Police*. Washington, D.C.: Government Printing Office, 1973.
2. Reinke, Roger W. "Police Professionalism: A National Certification Program," *Public Management*, July 1974.

Related Standards

The following standards may be applicable in implementing Standard 4:

- 3 Minimum Qualifications for Future Police Chief Executives
- 16 Regional and National Executive Enrichment and Development for Police Chief Executives

Standard 5

Internal and External Selection Alternatives

Every appointing authority should ensure that the best possible candidate is selected as police chief executive. The appointing authority first should consider selecting candidates from within the agency. If qualified persons are not available within the agency, the appointing authority must include outside candidates in the selection process to ensure proper leadership of the agency.

In deciding whether the selection process should include candidates from outside as well as from inside the agency, the appointing authority should assess the requirements of the agency, the quality of management resources available within the agency, the effect of prior agency relationships on internal candidates, and the need for infusion of new concepts into the agency. The appointing authority should evaluate the impact of selecting a candidate from outside the agency on: the morale of agency personnel; community acceptance of the police chief executive; and pension benefits for the police chief executive.

Commentary

In order to select the best person to head a jurisdiction's police agency, sometimes a candidate must be selected from outside the police agency. In fact,

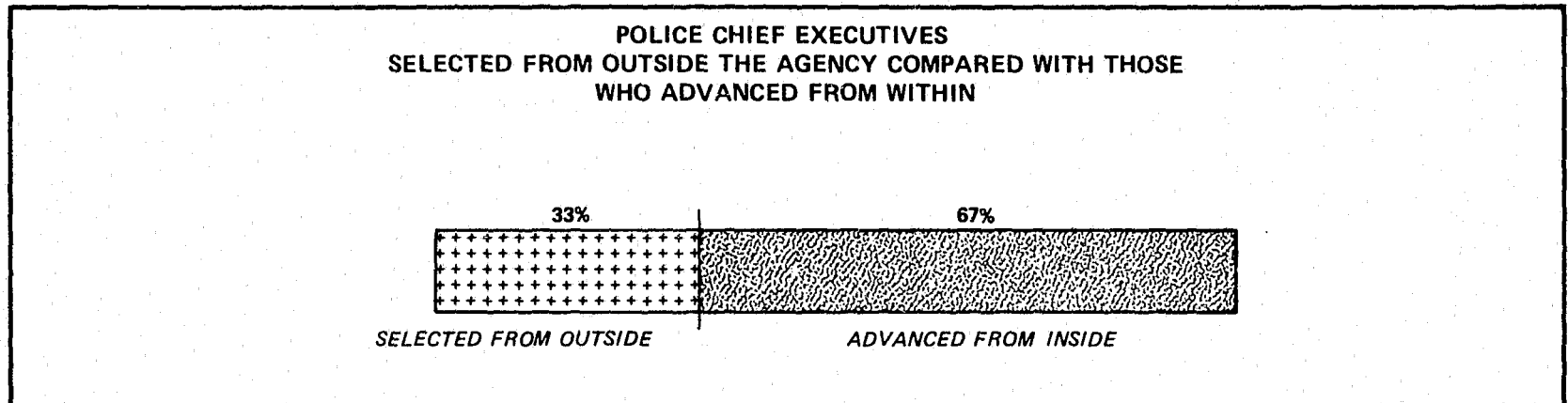
a full one-third of the police chief executives surveyed for this Report were selected from outside their agencies (Figure 5.1). Fifty-one percent of sheriffs, 28 percent of city and county police chiefs, and 12 percent of the heads of State agencies were selected from outside. The Middle Atlantic States have the smallest percentage (15 percent) of police chief executives selected from outside agencies, and the Mountain States have the highest percentage (41 percent) selected from outside (PCE I #M).

Although it is common to elevate a candidate from within the police agency to the police chief executive position, it is also common for superiors to want to consider candidates from outside the agency, even though the appointment may be made from within. Eighty-two percent of the superiors and 58 percent of the police chief executives surveyed agreed or strongly agreed that the next police chief executive in their agencies should be selected from outside as well as insider candidates (Figure 5.1). This opinion was shared by 71 percent of the sheriffs, 56 percent of the city and county police chiefs, and 33 percent of the heads of State agencies.

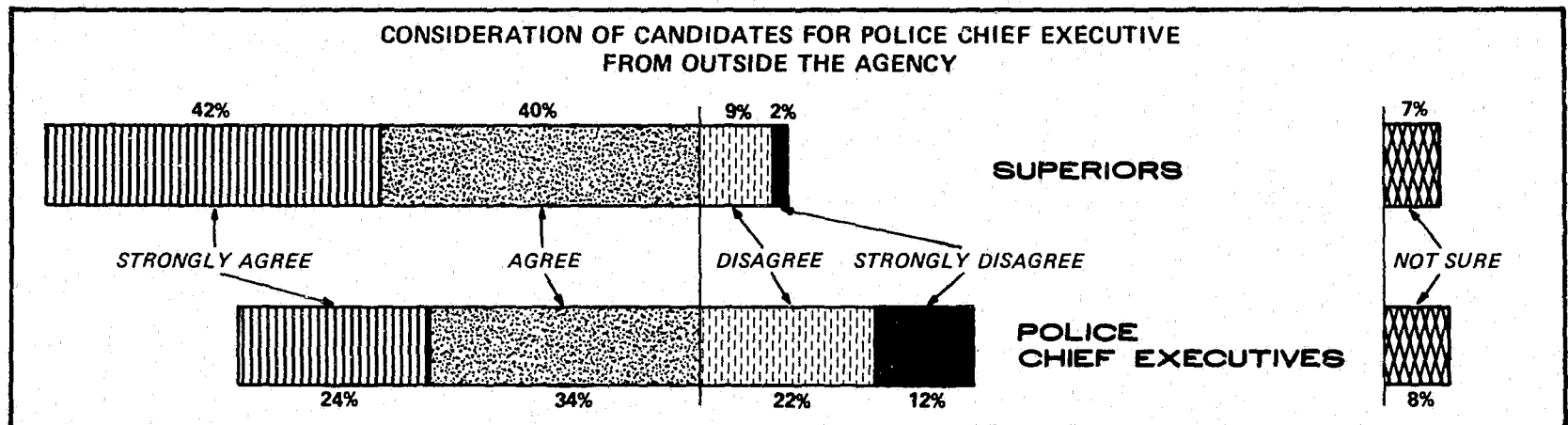
These data support the position taken by the National Advisory Commission on Criminal Justice Standards and Goals in its *Police* report regarding lateral entry in the selection of police chief executives. The Commission concluded that:

FIGURE 5.1

INTERNAL AND EXTERNAL SELECTION



SOURCE: PCE I #M



One-third of the police chief executives are selected from candidates outside the appointing agency. More than one-half of the police chief executives and 82 percent of their superiors favor the consideration of outside candidates.

SOURCE: PCE I #3
SUPERIOR #7

While the development of incumbent personnel is the most effective manner in which to fill senior or advanced positions, it is not the most practical or expeditious technique in every case. Due to inattention to personnel development, it is not unusual for individual police agencies to have vacancies for which qualified replacements are unavailable within that particular organization. Conversely, it is not unusual for the more professional police agencies to develop what amounts to a surplus of specialist, managerial, and administrative talent. If the opportunity for lateral movement within the law enforcement profession was enhanced, manpower would be used more effectively with a commensurate benefit accruing to individual agencies and the profession as a whole.¹

As a group, police chief executives of smaller agencies and their superiors give the highest percentage of support to considering outside candidates for police chief executive positions (Figure 5.2). For the largest agencies of more than 1,000 personnel, 40 percent of the police chief executives and 55 percent of their superiors believe that outside candidates should be considered in the selection process. This contrasts with the smallest agencies of fewer than 15 personnel where 86 percent of the superiors and 66 percent of the police chief executives believe that outside candidates should be considered (PCE I #3, Superior #7).

Understandably, large police agencies offer command and staff opportunities in which valuable police management experience can be gained, and they are likely to have management development training programs for their personnel. This points to the need for increased development opportunities for personnel of smaller police agencies. In view of the relatively limited financial resources available to many smaller agencies, regional or State-supported management development programs may meet this need most effectively (Standard 16).

The level of agreement for considering outside candidates in the selection process is shown by geographic area in Figure 5.3. In the West South Central States, 92 percent of the superiors and 70 percent of the police chief executives agree or strongly agree that outside candidates should be considered. This contrasts with the Middle Atlantic States, where 66 percent of the superiors and only 36 percent of the police chiefs agree or strongly agree that outside candidates should be considered. This contrasts with the Middle Atlantic States, where 66 percent of the superiors and only 36 percent of the police chiefs agree or strongly agree that outside candidates should be considered. There is considerable difference between the opinions of police chief executives and their superiors as to whether outside candidates should be considered. The differences are

most pronounced in the New England and Middle Atlantic census divisions.

In order to meet the individual agency needs revealed by the research, it is the recommendation of the Police Chief Executive Committee that consideration first be given to the selection of candidates from within the agency when filling police chief executive positions. Only if sufficiently qualified persons are not available within the agency should the appointing authority then include outside candidates in the selection process to ensure proper leadership of the agency. This position was taken by the Committee only after considering the advantages and disadvantages of external selection.

In some jurisdictions, restrictions are a barrier to the selection of external candidates. These restrictions may be based on rules established by a commission, or on laws established by local or State legislation. Internal advancement opportunities are an important career aspect of the police service. In many agencies that have management development programs and positions in which command or staff experience can be gained, there is a surplus of qualified internal candidates to assume the police chief executive position. In these cases, the consideration of external candidates may not be necessary. Not all agencies are so fortunate, however. Where laws, rules, and procedures prevent the selection of a qualified police chief executive, rules or procedures should be changed by commissions, or laws should be changed by legislative bodies.

External Selection Advantages

Selections are made from outside the agency for various reasons. Superiors were asked what the advantage most nearly would be if their next police chief executive were selected from outside the agency (Superior #2). The most frequently cited reason was to provide a better qualified person than is available within the agency. If no agency employee is qualified for the position, it is often due to a lack of personnel development and not because agency employees lack the capacity to learn. If talented employees were identified, motivated, and developed, there would be more qualified persons within the agency to select from. Forty-nine percent of superiors responded that selection of a police chief executive from outside the agency offered the advantage of being able to obtain a better qualified person than was available within the agency (Superior #2).

Another advantage to selecting a police chief executive from outside the agency would be to obtain a person not constrained by prior agency relationships. Twenty-one percent of superiors surveyed cited this advantage. When outside candidates are

¹ National Advisory Commission on Criminal Justice Standards and Goals, *Police* (Washington, D.C.: Government Printing Office, 1973), Standard 17.2, p. 427.

included in the selection process, internal candidates should be aware that some superiors are concerned that prior agency relationships may affect job performance.

A third advantage, but one that received little support, was that outside selection would obtain "new blood" to alleviate adverse institutional conformity. Only 11 percent of superiors believed that this was an advantage of outside selection. The problem of becoming ingrown is real in some agencies, but is declining because of increasing numbers of seminars and institutes and better distribution of literature on police administration and management.

Persons who aspire to advance to the police chief executive position within their agency should be aware that only 15 percent of superiors surveyed for this Report believe there would be no advantage to considering outside candidates for their next police chief executive (Superior #2).

Figure 5.4 shows the responses by agency size of those superiors who believed the advantage would be to obtain a better qualified person if an outside candidate were selected. Thirty-two percent of the superiors of the largest agencies of more than 1,000 personnel agreed, and 56 percent of the superiors of the agencies with between 15 and 74 personnel agreed (Superior #2).

External Selection Disadvantages

Some problems may confront a police agency or a community when a police chief executive is selected from outside the agency. Factors such as agency morale, community acceptance, and pension considerations were presented to police chief executives to determine the impact they might have in the event of an external selection (PCE I #7).

Morale. The survey for this Report shows that 60 percent of city and county police chiefs, 37 percent of the sheriffs, and 83 percent of the heads of State agencies believe that outside selection would be harmful to the morale of agency personnel (PCE I #7). Interestingly, many police chief executives indicated both that agency morale would suffer and that outside candidates should be considered, despite the effect it might have on morale.

Interviews with police chief executives and their superiors revealed that selection from outside the agency might harm morale of upper level police officials, but would not necessarily have a direct effect on the morale of lower level police employees. If the morale of top management is destroyed, however, it indirectly will affect the entire agency.

A higher percentage of police chiefs of large city and county agencies than of smaller agencies indicated that selection from outside would be harmful to morale (Figure 5.5). Seventy-seven percent of

the police chiefs of the largest city and county agencies felt that outside selection would be harmful to morale, while 45 percent of the police chiefs of the smallest city and county agencies had this opinion. There is no such difference by agency size in the response rates of sheriffs or of heads of State agencies (PCE I #7).

There is considerable potential for creating a morale problem by considering outside candidates. If, in fact, internal candidates are qualified but are ignored in a selection process that includes only outside candidates, the morale of agency personnel who aspire to the police chief executive position could be damaged severely. On the other hand, if the agency clearly cannot produce required leadership, final selection from outside the agency should not unduly disturb personnel morale. Internal advancement opportunities have a positive effect on the attitudes and esprit de corps of agency personnel, which in turn have a significant relationship to police productivity.

Community Acceptance. Community acceptance of a lateral entrant is another important consideration. Twenty-eight percent of the police chief executives surveyed indicated that outside selection of the next police chief executive would present problems in the area of community acceptance (PCE I #7). A higher percentage of police chiefs of small city and county agencies than of large agencies responded that selection of a police chief from outside the agency would present community acceptance problems. During a personal interview, the mayor of a smaller jurisdiction expressed the opinion that for smaller agencies, local candidates are more desirable. He believed that residents feel more comfortable bringing their problems to someone they know, someone who they feel shares their concerns.

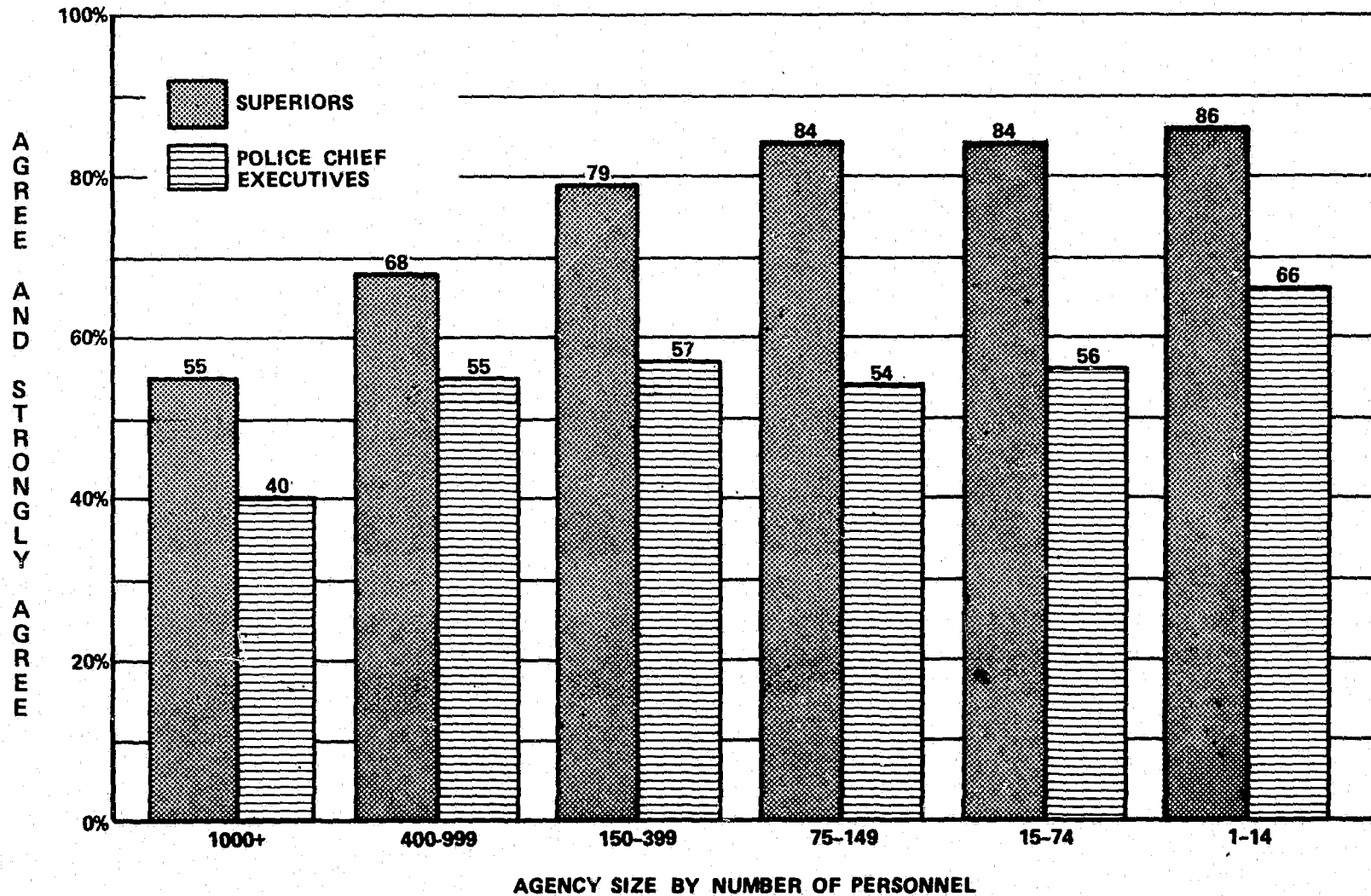
It is interesting to note the two extremes regionally: 22 percent of the police chief executives in the East North Central States believed there would be problems of community acceptance with outside selection, while 42 percent of the police chief executives in the Mountain States expressed this opinion (PCE I #7). Both groups agreed, however, that outside candidates should be considered: 61 percent of police chief executives in the East North Central States agreed or strongly agreed that outside candidates should be considered and 60 percent of Mountain State police chief executives agreed or strongly agreed with the concept (PCE I #3).

Pension Considerations. Pension benefits may be another factor that affects the decision to select an internal candidate. Twelve percent of the police chief executives believed that outside selection would be difficult due to pension considerations (PCE I #7). Agency size appeared to be a factor. Seven percent of the chiefs of agencies with less than 15 personnel

FIGURE 5.2

SELECTION OF NEXT POLICE CHIEF EXECUTIVE

AGREEMENT BY AGENCY SIZE WITH CONCEPT THAT OUTSIDE CANDIDATES
SHOULD BE CONSIDERED FOR SELECTION

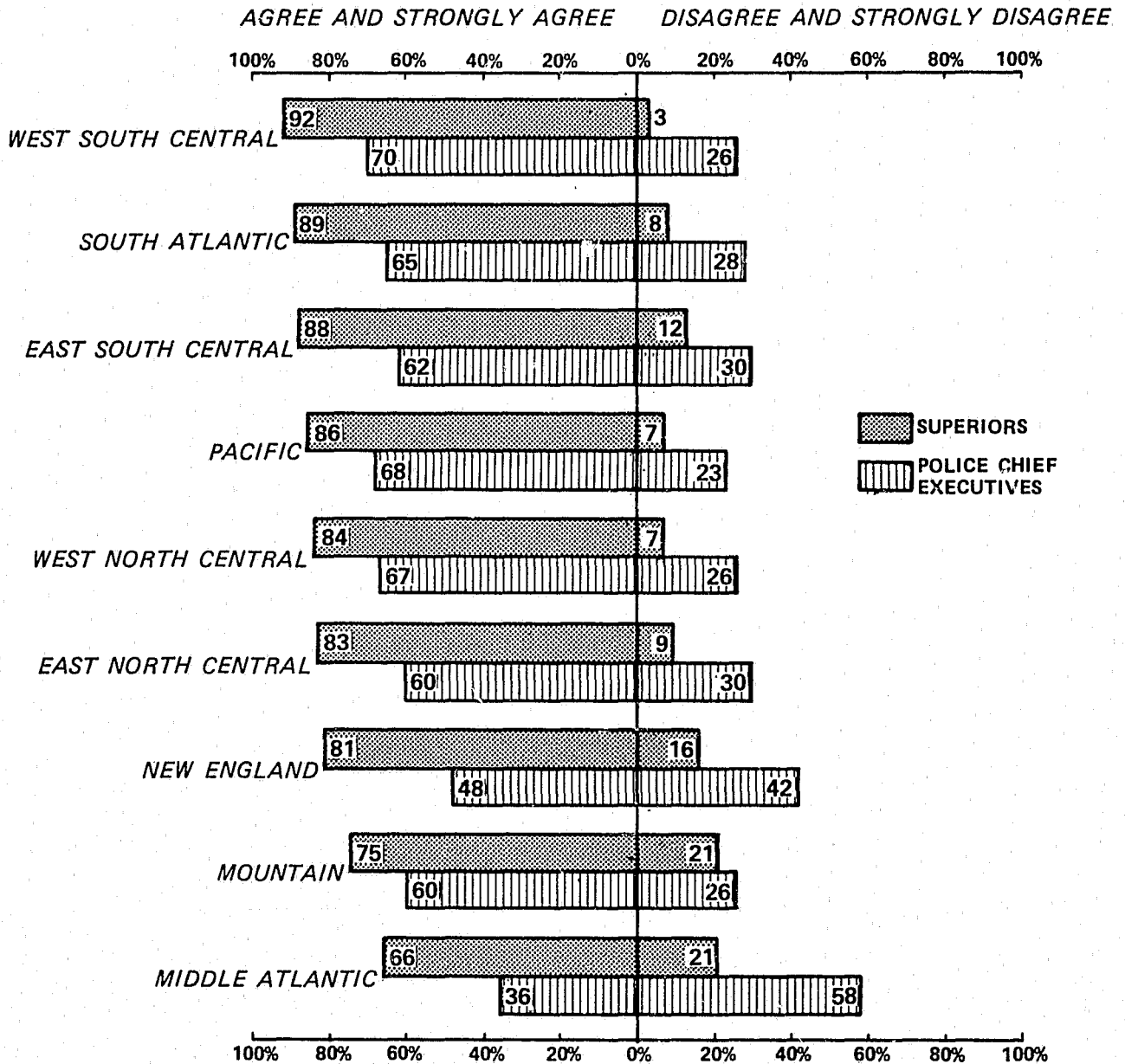


SOURCE: PCE I #3
SUPERIOR #7

FIGURE 5.3

SELECTION OF NEXT POLICE CHIEF EXECUTIVE

AGREEMENT BY CENSUS DIVISION WITH CONCEPT THAT OUTSIDE CANDIDATES
SHOULD BE CONSIDERED FOR SELECTION

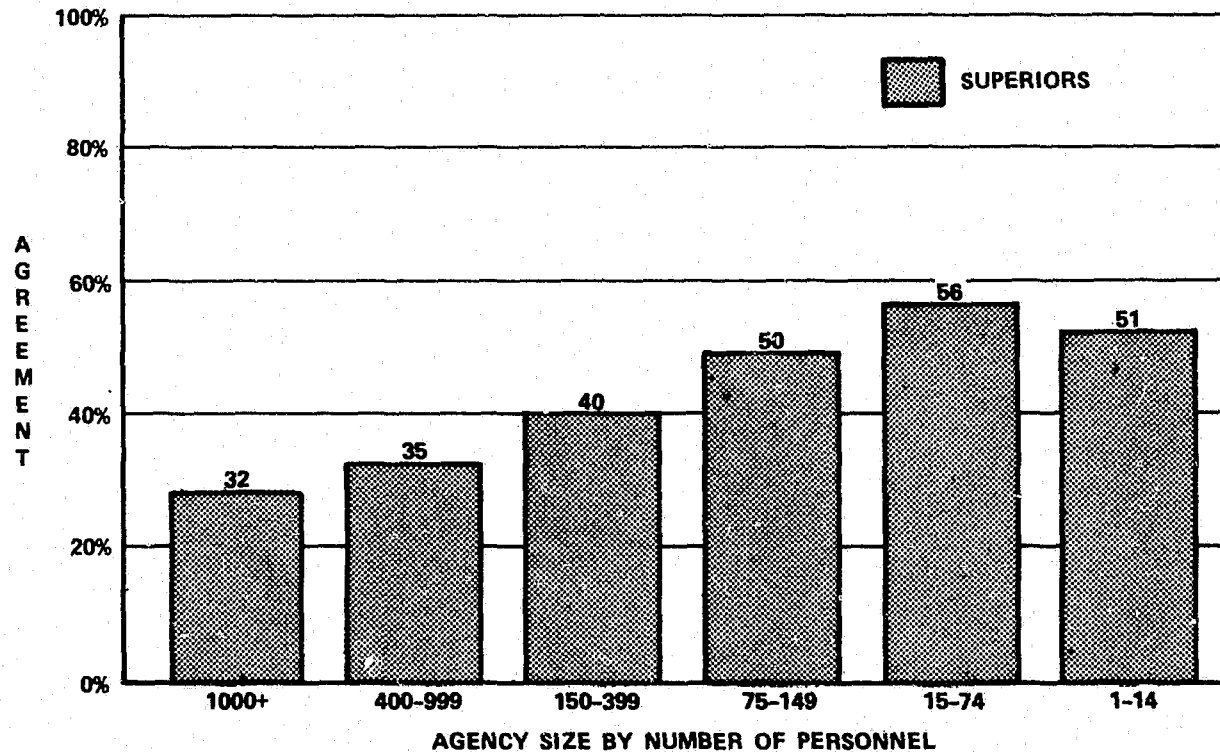


A consensus of agreement is shown with consideration of candidates for police chief executive from outside the agency among geographic divisions.

FIGURE 5.4

SELECTION FROM OUTSIDE THE AGENCY

THE ADVANTAGE OF SELECTING THE NEXT POLICE CHIEF EXECUTIVE FROM CANDIDATES OUTSIDE THE AGENCY WOULD BE TO OBTAIN A BETTER QUALIFIED PERSON



Approximately one-half of the superiors from agencies with fewer than 150 personnel felt that selection from outside the agency would provide a better qualified police chief executive. Agreement was less strong among the superiors of larger agencies.

SOURCE: SUPERIOR #2

and 30 percent of the chiefs of agencies with 1,000 or more personnel indicated that pension considerations would present difficulties in selecting from outside the agency.

Although questionnaire data indicate that only one out of every eight police chief executives believed pension considerations make outside selection difficult, personal interviews revealed that the lack of pension transferability is a significant barrier to lateral entry in some areas of the country. Many cases were reported of highly professional police administrators who, because they had worked in more than one police agency, did not accrue sufficient service time with any one agency to gain fully vested pension rights. The inability of some jurisdictions to offer adequate financial security upon retirement has kept them from obtaining needed management resources for their agencies.

One police chief executive who was interviewed for this survey suggested that pensions be computed as fractional amounts of fully vested time periods. Each jurisdiction would pay an appropriate part of the retired police chief executive's pension based upon the amount of time served in that jurisdiction.

Movement of police personnel across State lines also presents formidable pension problems. As expressed by one police chief, "Pension transferability, unless it is within a State system, is not practical; there are too many actuarial problems [otherwise]."

The problems created by a lack of pension transferability are not always apparent during the selection process. Potential candidates may have an interest in the position but, because of pension restrictions, do not make that interest known. Thus, the best candidate may not necessarily be among the group that applies for the position.

Even when selection authorities actively recruit candidates, they may not be in a position to provide an acceptable pension, and they may not be aware that interested candidates have not applied because of pension considerations. Because of that, those responsible for making the selection should examine the pension provisions that apply to their police chief executive position carefully to determine if there are serious deficiencies that would discourage qualified candidates from applying.

California is one State that maintains a State-supervised pension system available to local police departments. Sworn personnel of any rank who move to other participating agencies within the State retain all privileges and benefits. Retirement requirements and fiscal operations are administered under State laws.

In the State of Pennsylvania, the majority of pen-

sion systems are set up and administered by each individual jurisdiction. There are literally hundreds of individual pension systems set up within the State. Contribution rates and benefits vary and pension rights are usually nontransferable.

In some States where police chief executives have been hired who were not eligible to join local pension systems, other financial concessions were authorized. As an example, a retirement annuity policy in the name of the police chief executive is paid by one jurisdiction. Retirement benefits from the policy are increased with each year of service.

Before a police chief executive position is filled, a preselection assessment as outlined in Standard 1 of this Report should be conducted to determine the management needs of the agency. A review of the evaluation criteria in Standard 2 and the minimum standards recommended by the Police Chief Executive Committee in Standard 3 can assist in making an appraisal of the qualifications of internal candidates. In many cases, especially in smaller agencies, supervising authorities will have made an accurate appraisal of the management capabilities of internal personnel, and therefore will already know whether outside candidates should be included in the selection process.

To ensure proper leadership of the agency, every appointing authority should ensure that the best possible candidate is selected as police chief executive. In many agencies, this can be accomplished through internal selection. If, after a careful appraisal, it is determined that agency management requirements cannot be met properly through internal selection, outside candidates should then be included in the selection process.

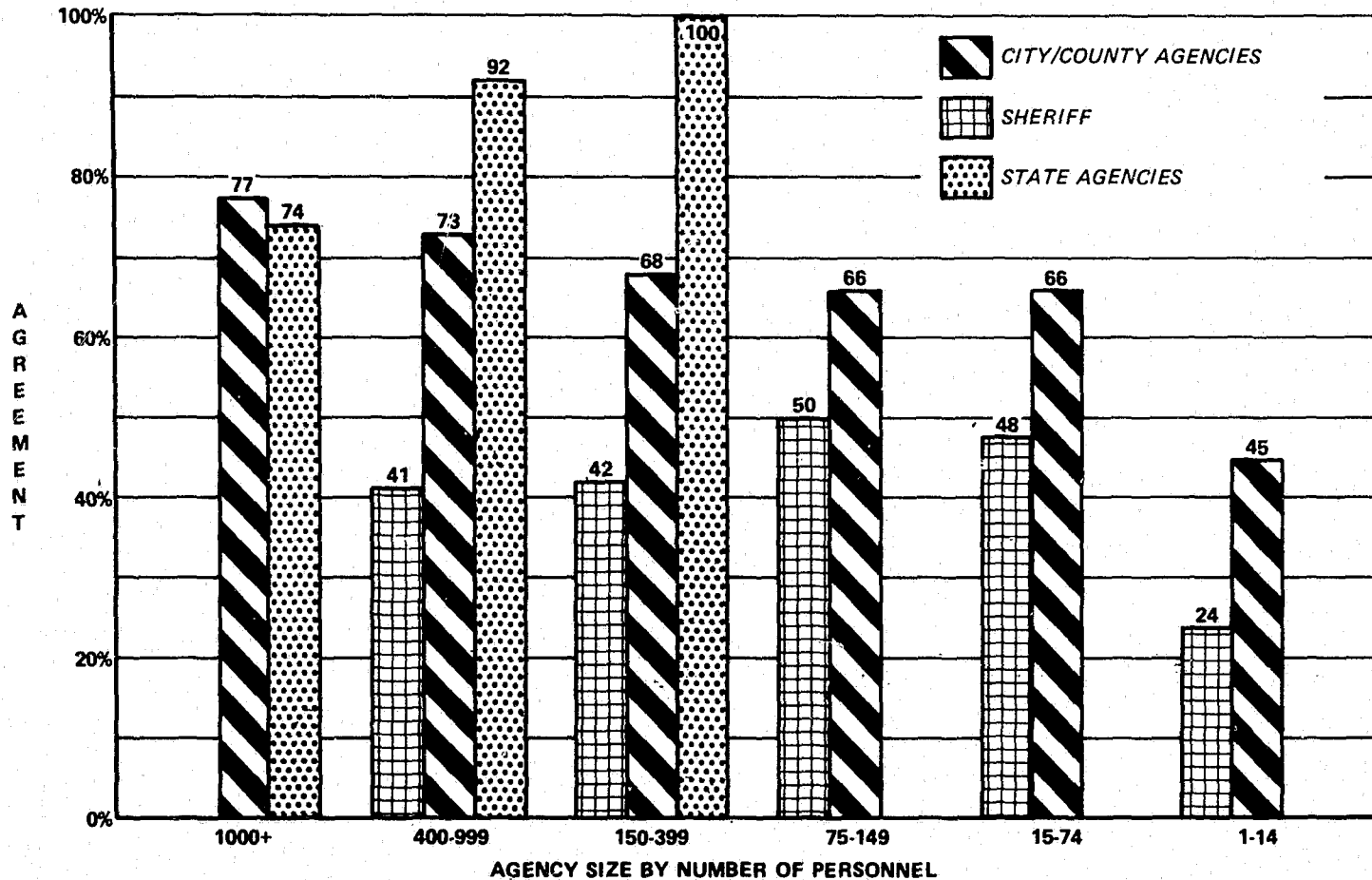
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2. Kelly, Michael. For the Police Foundation and the International City Management Association. *Police Chief Selection: A Handbook for Local Government*. Unpublished.
3. Marquis, Donald R. "Selecting a Police Chief," *Public Management*. July 1974.
4. National Advisory Commission on Criminal Justice Standards and Goals. *Police*. Washington, D.C.: Government Printing Office, 1973.
5. National Institute of Law Enforcement and Criminal Justice. *Portable Police Pensions: Improv-*

FIGURE 5.5

SELECTION OF NEXT POLICE CHIEF EXECUTIVE

AGREEMENT BY POLICE CHIEF EXECUTIVES WITH CONCEPT THAT THE
SELECTION OF AN OUTSIDE CANDIDATE WOULD BE HARMFUL
TO MORALE OF AGENCY



More than 60 percent of the chiefs of City and County police agencies with 15 or more personnel believe that the selection of a police chief executive from outside the agency would be harmful to morale; State agency heads believe this most strongly, and sheriffs least strongly.

ing Inter-Agency Transfers. Washington, D.C.: Government Printing Office, 1971.

6. Reinke, Roger W. "Police Professionalism: A National Certification Program," *Public Management*, July 1974.

Related Standard

The following standard may be applicable in implementing Standard 5:

1 Preselection Assessment of the Agency

Standard 6

Selection Processes for Nonelected Police Chief Executives

Every appointing authority should employ a formal selection process to evaluate fairly all qualified candidates for the police chief executive position and to ensure that the selection decision is based on merit. The process must utilize valid evaluation criteria that permit selection of the candidate who is personally and professionally best qualified for the police chief executive position.

As a minimum, every formal selection process should include a written application or résumé, an extensive oral interview, a comprehensive background investigation, and an evaluation of performance in recently held positions.

Written essay and multiple-choice type examinations can serve a useful purpose in the process of selecting police chief executives. Testing for conceptual ability, basic law enforcement knowledge, or writing ability can be accomplished through administering written essay and/or multiple-choice type examinations. Such examinations, if used, should serve only as initial screening devices and should not be used as factors in ranking candidates.

Police chief executives should not be selected solely on the basis of seniority without a determination of merit. Selection solely on the basis of seniority is not professionally acceptable.

The formal selection process should not give exclusive evaluation authority to one individual. Eligi-

ble candidates should be evaluated by a selection board. The immediate superior of the agency's police chief executive should make the selection decision from among the qualified candidates recommended by the selection board.

The selection decision of the immediate superior should be confirmed by a higher authority or legislative body.

Commentary

The police service has made steady progress in establishing selection criteria and procedures at the entry level. More than ever before, police agencies are beginning to use validated aptitude tests, rigorous physical examinations, and indepth background investigations to screen candidates desiring to enter the law enforcement field. Establishment of selection processes was necessary to the overall advancement of the police service, but its scope has been too limited.

Limited attention has been given to the review of police chief executive selection processes. What some may view as an oversight might become a serious matter in view of the country's rising crime statistics. The National Advisory Commission on Criminal Justice Standards and Goals in its *Police* report referred to the police chief executive as the

"key to positive change needed within the police service to reduce crime." It is evident that the police chief executive is the key individual in any police agency and, as such, can exert a significant influence on crime reduction within his jurisdiction.

Traditional Selection Procedures

A variety of procedures is currently used in selecting police chief executives. Some of them are too inflexible, and others do not measure ability or qualifications for the position.

Election. A selection procedure that is competitive but that does not necessarily include an intensive evaluation of professional qualifications is the elective process. Establishment of minimum qualification standards for police chief executives, which is recommended in Standard 3 of this Report, will prevent the election of totally unqualified individuals. Such minimum qualification standards screen candidates so that elections are not solely popularity contests. Such standards will upgrade the professional quality of newly elected police chief executives.

The elective process receives considerably support from elected police chief executives. Fully 86 percent of the sheriffs who were surveyed agreed or strongly agreed that election is a good method of selecting police chief executives (PCE I #H and #3).

The elective process can provide the police chief executive the balance of independence and responsiveness necessary to administer a police agency effectively (Standard 13). Although sheriffs and other elected chiefs are not the only police chief executives who are vocal, in interviews with elected police chief executives they indicated that they believed they are more vocal than nonelected chiefs. They have a degree of independence that allows them to speak out when they should (Standard 15).

A shortcoming of the elective process is the need to collect campaign contributions. The money that it takes to run a successful campaign can place the candidate in the untenable position of feeling an obligation toward a few contributors of large amounts of money. One sheriff of a large agency was quick to point out that fundraising can be controlled effectively, however. He said, "First, ask a pillar of the community to chair a group which receives and deposits contributions. Second, limit funds to less than \$100. Third, return funds from anyone who, for any reason whatsoever, is suspect."

Political Appointment. Another selection procedure is political appointment not based upon merit principles. The pitfalls inherent in such a process are many, and it is not looked upon favorably by most

police chief executives. Table 6.1 shows that 24 percent of police chief executives are politically appointed but that only 18 percent of all police chief executives agree or strongly agree that it is a good selection method (PCE I #H and #3, Superior #7). It is interesting to note that 50 percent of elected superiors agree or strongly agree that political appointment is a good selection method but only 14 percent of the nonelected superiors favor it (Superior #C and #7). In addition to being exposed to charges of political favoritism and the evils of a "spoils" system, the police chief executive may only be in office as long as the official who appointed him is.

Table 6.1. Political Appointment

	PCE's selected by political appoint- ment %	Superiors say political appoint- ment is a good method %	PCE's say political appoint- ment is a good method %
New England	22	25	15
Middle Atlantic	20	33	11
E/N Central	30	42	20
W/N Central	19	31	17
South Atlantic	25	21	20
E/S Central	35	56	32
W/S Central	24	29	22
Mountain	32	29	18
Pacific	19	14	15
Totals	24	30	18

Source: PCE I #H and #3 and Superior #7.

A change in political administrations should not interfere with the continuation of evenhanded, fair, and appropriate allocation of police resources within the jurisdiction. The professional police chief executive cannot base his administrative decisions on political expediencies. His allegiance must be to the law and its fair application to all.

Recently, the police chief executive of an agency of about 200 personnel was appointed by the victorious mayoralty candidate. Each aspirant to the mayor's office had a high-ranking, on-duty police officer manage his political campaign. Traditionally, the successful candidate appointed his campaign manager chief of police, and police department employees who supported the successful campaign were

given preferred assignments. All appointments were effective until the next election.

This system eventually resulted in a deterioration of the police agency and, because of the deplorable condition of the agency, citizens demanded that the system be discarded. This is only one example of the dangers associated with political appointments of police chief executives when merit is not considered.

All political appointments are not bad. There are many outstanding police chief executives who were politically appointed. It is suggested, however, that candidates for political appointments be screened by a selection board that recommends candidates to the appointing authority. Only 21 percent of police chief executives believe the immediate superior should have sole authority for their selection, while 61 percent believe there should be shared authority (PCE II #1).

If authority rests in one individual, an evaluation by a selection board prior to appointment should alleviate some concern on the part of police chief executive. Also, appointments should not coincide with the term of the appointing authority. An overlapping or staggered term will give a new superior an opportunity to observe the police chief executive and decide whether the police chief executive should be retained.

Seniority. A practice that disregards basic principles of merit is the hiring of a police chief executive based on seniority alone. Not only does this limit selection to internal candidates within a given agency, but it assumes that suitability to the job is a direct correlate of time on the job. There is no guarantee that a person's ability to function effectively in the police chief executive position can be measured by his length of service in the police profession. Experience certainly should be considered along with other factors that constitute the overall profile of a police chief executive candidate. It should be used, however, as just one of many criteria that a selection board weighs in making its decision; there are many other important personal characteristics and performance capabilities that should be evaluated. The use of seniority as the only selection criterion is professionally unacceptable.

The police chief of a small agency reported that his ascent through the entire rank structure of his department was based on seniority in each rank. The danger in such a system is brought out by the fact that his predecessor, also a seniority selectee, was appointed to the police chief executive position and had to step down when he found himself unable to do the job. Selection based on seniority alone may result in the elevation of a totally unqualified individual to the police chief executive position. This same police chief executive believes that he will be

the last selected solely on the basis of seniority. He believes an internal screening process will be utilized in the future, with final selection being made by the appointing authority on the basis of merit. The trend away from seniority appointments is generally supported by police chief executives and their superiors. Only 27 percent of the police chief executives and 11 percent of their superiors agreed or strongly agreed that seniority is a good selection process (PCE I #3, Superior #7).

Civil Service. Many police chief executives regard civil service as a form of merit selection. As reflected in Table 6.2, only 20 percent of the police chief executives surveyed were selected by civil service. Sixty percent of them think it is a good selection method, however (PCE I #H and #3).

Some police chiefs expressed the opinion during interviews that civil service procedures serve to eliminate nonmeritorious political appointments. Generally, civil service rules protect a competent police chief executive from arbitrary and capricious removal. One police chief stated that "without civil service, a new political administration could easily remove the chief of police, and through the spoils system appoint their own man."

During the interview stage of this survey, the opinion was also expressed that many civil service systems have become too inflexible. It was stated by police chief executives and their superiors that such systems concern themselves so much with their own rules and procedures that they fail to meet the operational needs of the agency. Some civil service processes are completely separated from the police agency itself and, as such, make personnel decisions without knowledge of the realistic requirements of the vacant position.

One city had been forced to retain, for more than 12 years, a police chief executive who was reported to be incompetent but could not be removed because he was protected by civil service. After he retired, the city in frustration abolished its civil service procedures. The remedy—political appointment—may have been worse than the original system. Remedies exist within civil systems to remove the unfit, but are often not utilized.

The police chief executive of a large agency described selection by merit as "an informalized civil service . . . without legalisms and the inertia of a civil service department." He believes that certain civil service testing procedures should be retained to ensure that candidates are judged on qualifications rather than political considerations. He strongly suggests, however, that all final personnel selection decisions should be made by those responsible for the performance of the agency.

Table 6.2. Civil Service

	PCE's are selected by civil service %	Superiors say civil service is a good method %	PCE's say civil service is a good method %
New England	41	40	70
Middle Atlantic	42	41	71
E/N Central	18	34	61
W/N Central	11	35	58
South Atlantic	8	29	59
E/S Central	12	37	71
W/S Central	10	21	42
Mountain	5	29	49
Pacific	22	34	56
Totals	20	33	60

Source: PCE I #H and #3 and Superior #7.

Merit Selection. Seventy percent of police chief executives and 78 percent of their superiors agree or strongly agree that a merit selection process is a good method of selecting police chief executives (PCE I #3, Superior #7). The precise definition of merit selection was not agreed upon by those surveyed in this study. It may be described generally, however, as a formal process that fairly evaluates all candidates and permits the selection of the candidate who is personally and professionally best qualified for the particular police chief executive position. Figure 6.1 indicates that police chief executives most readily identified three methods with merit selection. These are evaluation by a selection board or committee (47 percent), evaluation based solely on past performance without testing (40 percent), and evaluation by testing that is in accordance with permanent rules established by a governmental authority (33 percent) (PCE II #9).

Interviewers found that some of the police chief executives who marked "evaluation based solely on past performance without testing" had taken the word "testing" to mean written testing. They believed that an oral examination to evaluate past performance was acceptable, however. Nineteen percent of the police chief executives identified evaluation by outside professional consultant and judgment of elected official with merit selection. Seventeen percent identified evaluation by testing that is unrestricted by previously established rules with merit selection, and 13 percent marked judgment of elected official (PCE II #9). Each of these merit

selection procedures may be incorporated into the formal selection system recommended by this Committee.

The Formal Selection System

Ninety-eight percent of both police chief executives and their superiors indicated that a formal selection system is necessary (Superior #12, PCE II #8). The selection procedure for nonelected police chief executives should be a formal selection system, based on merit, consisting of three distinct phases. First, there is candidate evaluation. This phase consists of the application or résumé, an oral interview by a selection board, a background investigation, and an evaluation of past performance. Management assessment centers, written examinations, and the use of outside consultants also may be considered during the candidate evaluation phase. Second, the appointing authority should receive a list of the best qualified candidates from the selection board and choose the candidate he thinks is best qualified. Finally, the appointing authority's choice should be confirmed by a higher authority or legislative body.

Candidate Evaluation

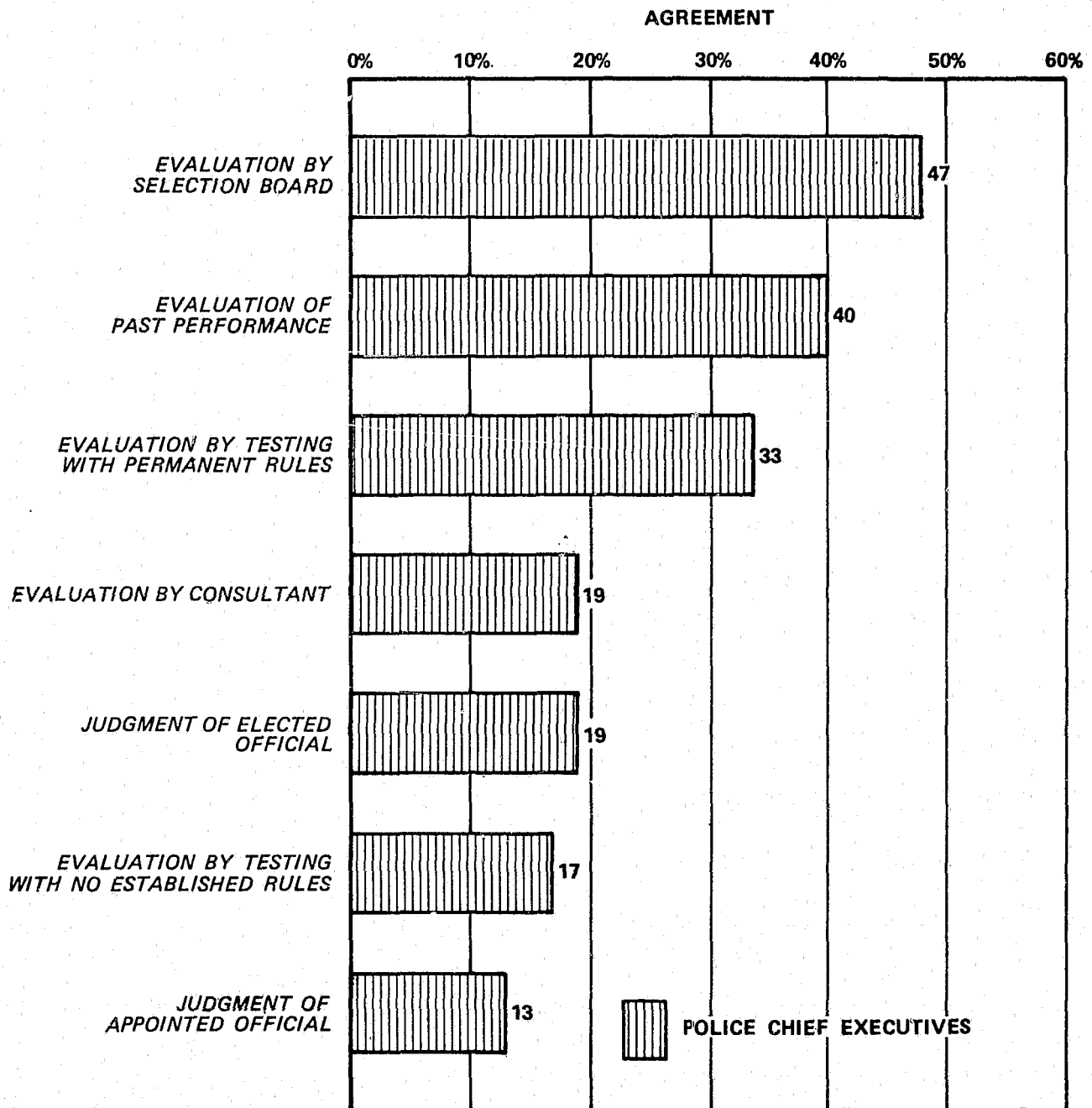
The collection and evaluation of data about each candidate is the basis of the whole selection process. Without the collection of sufficient data on each candidate and the fair evaluation of that data, an equitable selection process will not be possible.

Figure 6.2 indicates how police chief executives and their superiors rated eight methods that are sometimes part of the formal selection process. Strong support was given to the oral interview, written application or résumé, background investigation, and performance evaluations from recently held positions. These must be considered essential steps in the candidate evaluation phase of the formal selection process.

Application or Résumé. The initial function of the application or résumé is to eliminate candidates from the selection process who are obviously unqualified. A comprehensive overview of an individual's personal history, training, education, and experience can be found in the application or résumé. Those candidates who lack certain basic skills or desirable background characteristics may be removed from consideration, and the field of candidates narrowed down to a workable number. It may also be used as a frame of reference during oral interviews of candidates later in the selection process.

Even in its most basic form, the application gives the selection committee a starting point from which to screen applicants. If the application or résumé is sketchy, poorly done, or ambiguous, early judgments

FIGURE 6.1
SELECTION METHODS IDENTIFIED
WITH "MERIT SELECTION"



From seven choices, police chief executives identified various procedures that they associated with merit selection. "Evaluation by a selection board" was rated as the most identifiable method, followed by "Evaluation of Past Performance."

can be made about the qualifications an individual would bring to the job. Seventy-eight percent of police chief executives and 87 percent of their superiors believe that a written application or résumé should be part of the formal selection process (Superior #12, PCE II #8).

Oral Interview by a Selection Board. The next important step in the selection process is the oral interview conducted by a selection board. Eighty-eight percent of the police chief executives and 94 percent of their superiors indicated that an oral interview should be included in the formal selection process (Superior #12, PCE II #8).

During the interview, the selection board evaluates the candidate on a personal level. A personal interview is the most realistic and valid means of appraising the individual's suitability to head a particular agency. The candidate may be evaluated on appearance, oral expression, whether he can "think on his feet," and job knowledge. During the oral interview, the candidate's enforcement philosophy, basic value system, and ability to articulate the police chief executive's job should be determined.

The interview should concentrate on the candidate's interpersonal skill instead of merely testing for theoretical knowledge of police science principles. It should be the responsibility of the selection board to judge the individual's ability to interact with subordinates, superiors, and the community. Evaluation of personality traits and mannerisms should be used in such determinations. Matters such as internal discipline and administrative decisionmaking are additional proper topics in the interview phase of selection. If an assessment of the agency has been completed, as recommended in Standard I of this Report, the administrative and operational problems revealed by the assessment may be presented to the candidate as a test of his problemsolving abilities.

To maximize the potential for success, the formal selection process should involve more than one person. Therefore, the evaluation of police chief executive candidates in a merit selection process should be the responsibility of a selection board. Selection in a merit process is much too important and involves too many subjective variables to be the responsibility of one person, whether it is the police chief executive's immediate superior or a higher authority. By utilizing a selection board, the judgment of more than one person is introduced, and the jurisdiction minimizes the chances of an individual violating merit principles by evaluating candidates upon personal considerations.

The selection board may be an existing committee or council, part of an existing civil service system, made up of outside persons appointed or retained to screen and recommend candidates, or a combination

of these bodies. In all cases, the duties of the selection board should be to evaluate the candidates, screen out unqualified candidates, and recommend top candidates to the appointing authority.

Some jurisdictions successfully obtain prominent persons from the community, experienced executives from private industry, judges, police chief executives from other jurisdictions, or other qualified persons from other disciplines to volunteer to sit on a selection board. Selection board members should be representative of the community, the criminal justice system, and the police service. If the salary of selection board members is not paid by their employers, or if expenses are not paid, it may be appropriate to provide an honorarium to offset such costs.

Members of elected bodies have acted as boards that evaluate candidates. Such elected groups, however, may be criticized because they lack expertise in police-related functions. The proper function of an elected body of a jurisdiction in the formal selection process is to confirm or reject the candidate after a selection board has recommended and the appointing authority has appointed the candidate.

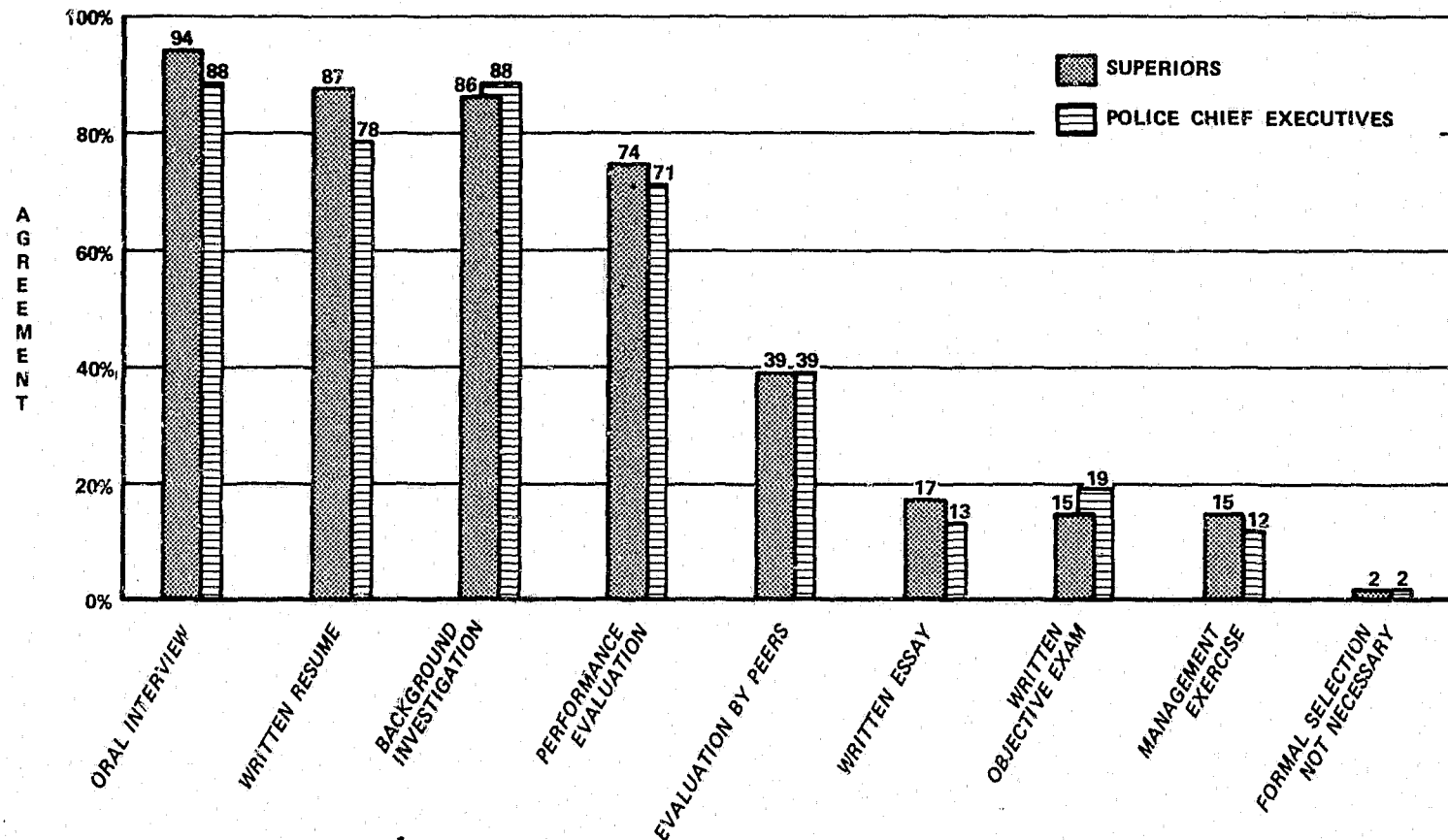
Selection boards should be made up of individuals who possess a degree of training and experience that will allow them to evaluate the abilities of police chief executive candidates perceptively. Not only should they be able to give an objective, critical appraisal of each candidate, but they should have an insight into the nature and demands of the particular police chief executive position. This will facilitate the selection board's ability to identify the most qualified candidates from the field of applicants.

Background Investigations. At some point in the later stages of the selection procedure, a comprehensive background investigation of the remaining police chief executive candidates should be initiated by the appointing authority. Because extensive investigations can be expensive, the investigation should be conducted after the selection board has narrowed the field to two or three candidates.

The background investigation can be used to validate the information gathered from the résumé and the oral interview. It may answer some questions about the qualities and abilities of each candidate while giving further insight into his personality and professional reputation. As a minimum, the comprehensive background investigation should evaluate and verify data related to the candidate's education, employment, family, medical and military history, residences, organizations and affiliations, references, and financial history.

More than 85 percent of the police chief executives and their superiors indicated that a background investigation should be part of the formal selection process (Superior #12, PCE II #8).

FIGURE 6.2
FORMAL SELECTION METHODS



From nine choices, police chief executives and their superiors recommended various selection methods which should apply to police chief executives. The oral interview, written application or resume, background investigation, and performance evaluation were the most frequently recommended processes.

SOURCE: PCE II #8
SUPERIOR #12

Evaluation of Past Performance. Another essential step in the later stages of the selection process is the evaluation of a candidate's past performance in management or supervisory positions. This evaluation should be obtained whether the individual has been recruited from another police chief executive position, a lower ranking law enforcement post, or an office outside of the police service.

One respected police chief believes that past performance is the single most important selection criterion. He stated that, "The candidate must have demonstrated that he could combine his training, knowledge, and education into successful leadership behavior and accomplishment."

A performance evaluation is much more than written rating reports. The selection board should concern itself with the "whole man" concept, and interview persons qualified to evaluate objectively the candidate's performance. Written evaluations can be used to supplement the interview data. Seventy-one percent of police chief executives and 74 percent of their superiors feel that performance evaluations should be a part of the formal selection process (Superior #12, PCE II #8).

Performance evaluations always should be made through personal contact with knowledgeable people within the agency that most recently employed the candidate. Such contacts should include both the candidate's superiors and professional associates from his peer group. The superior is probably best qualified to evaluate the person's past accomplishments in relation to the agency goals. He should provide a perception of the candidate's management capabilities, organizational skills, interpersonal relationships, and personality traits. If there are certain negative tendencies that the candidate has exhibited, the superior should be aware of their existence and of their effect on his overall performance.

If a candidate is leaving another agency because of conflict with his superior or other problems, these factors should be evaluated carefully. The interviewer also must have the insight and ability to evaluate the validity of the superior's perceptions. It should be noted if the superior seems to be a poor judge of personnel or if he expresses bias against the candidate.

The appointing authority does not need to conduct interviews personally to appraise an applicant's past performance. It can be a time-consuming process involving travel to several locations over a large area. It is important that the interviewer be a person who has experience and training in the law enforcement field, however. A person who does not know what to look for or what to ask will be of limited value and may present a distorted view of the candidate's abilities. Appointing authorities may consider using competent police chief executives from other jurisdictions

who have not applied for the position being vacated. These administrators may be retained as consultants to perform this particular function.

Although interviews with a candidate's superiors are important in an evaluation of his past performance, there is not unanimity of opinion on the importance of peer group evaluations of the candidate. Evaluation by a peer group is a more recent concept and one not yet universally accepted by the law enforcement community. Thirty-nine percent of both the police chief executives and their superiors indicated that peer group evaluations should be a part of the formal selection process, however (Superior #12, PCE II #8).

Peer group evaluation offers a perspective of the candidate that may be quite different from that of his superior. Peer group associates usually are much more aware of the pressures and conditions that influence a colleague's decisions and general performance. Peer group opinions may give the appointing authority insight into the nature of the relationship between the candidate and superior. If there are some traits that make the superior a particularly difficult person to deal with, this information can be valuable in assessing the validity of the evaluation given by the superior. Although there may be some difficulty in obtaining a candid evaluation from the candidate's associates, such interviews should be considered if time and agency resources permit. These evaluations may well add another dimension to a candidate's performance profile—a dimension that might otherwise go undetected.

Assessment Centers. There is a relatively new evaluation procedure, the assessment center, just emerging in the field of law enforcement. The procedure may be regarded as an extension of the interview process and was originally developed by private industry. An analysis is made of the qualities required by a particular management position and simulated exercises are developed to measure the presence or absence of those qualities in the candidates. The technique primarily has been used to assist in the evaluation of candidates for supervisory or middle management positions. It is possible that in the future, with further refinement and validation, the assessment center concept may be used in the police chief executive selection process.

Written Examinations. Written essay and multiple-choice type examinations are frequently administered to assist in selecting people within the police service and promoting them. Often, the process of selecting a police chief executive includes a written examination. Although written examinations can serve a useful purpose, they are not always needed in the selection process for police chief executives. And, though

they are frequently associated with civil service, not all civil service systems use a written test.

As a general rule, written examinations are not favored in the formal selection process. Fewer than 20 percent of police chief executives and their superiors indicated that either a written essay or a multiple-choice examination should be a part of the formal selection process (Superior #12, PCE II #8). The main argument against written examinations expressed during the interview stage of this survey was that they are not sufficiently job related, and therefore do not test a candidate's actual ability to perform successfully as a police chief executive. These examinations do not measure the candidate's personal, intangible qualities, which a selection board must evaluate. Some of the most important attributes of successful police chief executive candidates, such as leadership potential, the ability to relate to subordinates, and personal value systems, cannot be measured reliably by a written test.

One city manager expressed the view of many when he stated, "There is no relation between the written exam and the capability of doing a good job as a police chief executive. This is because 85 percent of the problems within an agency are 'people' problems and written exams don't test for the ability to interact with people."

Many police chief executives and superiors who supported the use of a written examination to help select police chief executives expressed strong support for their position. They believe some things a written examination can do are to test for conceptual ability, basic law enforcement knowledge, and writing ability. The essay (subjective) examination can effectively test a candidate's ability to conceptualize his ideas and beliefs and his writing ability. The multiple-choice (objective) examination is often used to test for job knowledge.

In some police agencies—especially the larger ones—police chief executive candidates have adequately proved their job knowledge, writing ability, and ability to develop a specific subject or question to a rational conclusion. In agencies where eligible candidates have more than 20 years of police service and two-thirds of that experience is in command assignments, a written examination may not contribute significantly to the selection process.

In smaller agencies, however, or even in larger ones that may lack qualified candidates, a written examination may screen out those who do not possess writing skills necessary for the position, or those that lack conceptual ability.

Outside Consultants. Although it is a practice that appears to be growing in popularity, the use of outside private consultants in the selection process may not always be feasible for smaller jurisdictions with

limited finances. Although 19 percent of police chief executives identified the use of consultants as part of the merit process, it is significant that the majority of this support came from the heads of larger agencies, which possess larger operating budgets (PCE II #9). If a jurisdiction has no established evaluation process, however, it may be more cost-effective to hire consultants. It should be stressed that, when used, consultants should be involved only in the evaluation of candidates for review by the appointing authority, not in the selection decision.

Some smaller agencies have obtained consultants from State personnel offices. Several agencies of various sizes have contracted with the International Association of Chiefs of Police (IACP) either to bring in police chief executives from other jurisdictions to conduct evaluations or to use the IACP's own Police Chief Selection Consulting Service. Outside consultants can provide expertise that might not be readily available at the local level. As the practice becomes more prevalent and more agencies avail themselves of such services, it will be interesting to measure the degree of success of the outside evaluation process.

The Appointing Authority

Forty-five percent of the immediate superiors of police chief executives indicated that immediate superiors should have sole authority in the selection of a police chief executive (Superior #3). Only 21 percent of police chief executives agreed with this practice, however (PCE II #1).

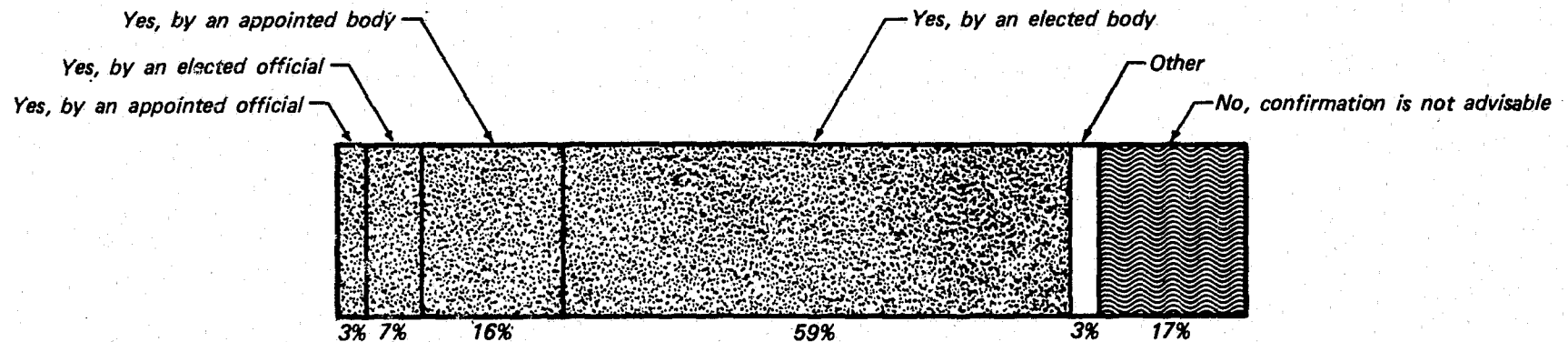
The key to the quality of the final appointment lies in the quality of the selection board that evaluates the candidates. If the selection board consists of individuals who are in tune with the agency's needs and who are capable of objective appraisals of the candidate's qualifications, the best candidates should be identified by the board.

The final choice of the new police chief executive from among the ranked candidates should be made by the individual who will exert direct authority over the new police chief executive. The city manager, mayor, or director of public safety should, at this point, choose the police chief executive he believes is most capable. Only if the prior elements of the selection process have been outside valid merit guidelines should the police chief executive's superior have to share the final decision.

If a board or commission is the immediate superior of a police chief executive, the decision should be based upon the will of the majority. In such a case, however, the board should strive for some unanimity of opinion about the individual selected to solidify the relationship between the immediate superior and the new police chief executive.

FIGURE 6.3
CONFIRMATION OF NONELECTED
POLICE CHIEF EXECUTIVE SELECTION

**IN YOUR OPINION, SHOULD THE SELECTION OF A NONELECTED POLICE CHIEF EXECUTIVE BE FORMALLY
CONFIRMED BY SOME AUTHORITY OTHER THAN THE BODY OR INDIVIDUAL MAKING THE SELECTION?**



In response to a question about various approval methods that are utilized to confirm the selection of nonelected police chief executives, 85 percent of the police chief executives registered an opinion that confirmation is advisable. Confirmation by an elected body was recommended more than any other approval method. (Total response exceeds 100 percent; police chief executives had option of marking one or more choices.)

Confirmation

A higher authority or legislative body should confirm the decision of the appointing superior. Figure 6.3 indicates that 59 percent of police chief executives believe that confirmation should be by an elected body. Confirmation may also come from an appointed body or the chief elected official of the particular jurisdiction (PCE II #2). The final selection should have some measure of approval by an authority higher than the police chief executive's immediate superior. This will tend to quiet possible criticism of the superior's choice. Should such confirmation be withheld, the higher authority should advise the superior of the reasons for such a decision. The superior should then either attempt to gain confirmation by some form of appeal to the higher authority or reconsider his original selection. Only on final confirmation should the new police chief executive be announced.

Confirmation by elected officials may place the police chief executive selection in the "political arena." On the other hand, it may be that the selection of a police chief executive is always in the "political arena" whether or not the formal rules call for confirmation by elected officials. As one superior said, "I would be a fool not to play the police chief executive selection past my city council, although no one says that I have to." To eliminate confusion and the possibility of challenges to the final appointment, confirmation should be a part of the formal selection process.

The establishment of minimum qualifications will ensure that candidates for elective police chief executive positions possess the basic prerequisites to be effective police administrators. For nonelected police chief executives, minimum qualifications need only be a starting point. Through use of a formal selection process containing the elements outlined in this commentary, available candidates can be evaluated fairly and the best person can be selected for the particular position. With minimum qualifications and formal selection processes, much can be done to improve the effectiveness of police leadership and the quality of police service.

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Related Standards

The following standards may be applicable in implementing Standard 6:

- 1 Preselection Assessment of the Agency
- 2 Evaluation Criteria for Selection of Police Chief Executives
- 3 Minimum Qualifications for Future Police Chief Executives
- 4 Certification of Police Chief Executive Candidates

Standard 7

Compensation for Police Chief Executives

Every governing body should compensate the police chief executive commensurate with the authority, duties, responsibilities, and standards of the position held.

Every State should formulate a compensation plan that includes police chief executives of State agencies. The State compensation plan should serve as a model for local jurisdiction compensation plans. State compensation plans may require modification by local jurisdictions.

Every State and local jurisdiction should establish compensation plans and evaluate the plan annually for appropriate adjustments. Compensation plans should ensure that an appropriate differential will be maintained between the police chief executive's compensation rate and the compensation rates of subordinate police personnel.

Every State and local jurisdiction should establish a compensation plan for police chief executives that includes a salary range scheduled into specified merit steps. Merit pay steps should be determined by an evaluation of the individual police chief executive's performance.

Commentary

Compensation plans for police chief executives must be implemented that will attract and retain per-

sons who have the type of leadership and administrative abilities urgently needed in law enforcement.

Every American has the right to expect and receive efficient, equitable, courteous, and lawful police service. That right is as deeply rooted in the most remote, sparsely populated corners of the Nation as it is in its most populated cities. There are still jurisdictions in which law enforcement is provided by very small agencies, others have agencies with thousands of sworn personnel.

Whatever the size of the agency or of the population it serves, its constituents should be assured the security and protection of proper police service. Indeed, all police agencies do not provide the same level or quality of police service.

Management authorities agree that the quality of a police agency is predicated upon the quality of its leadership. It should be an imperative in each State to assure that all police service within that State meets or exceeds established quality standards. Police chief executives and superiors agree that the place to start is with the top management positions, particularly the police chief executive positions.

Good leadership is the most important and least expensive administrative factor in a police agency. In a major agency, an incompetent police chief executive can create millions of dollars of unnecessary expenses with one bad policy decision. On the other

hand, just one efficient policy can save millions of dollars. In many jurisdictions, for example, enormous annual savings have accrued from civilianizing such tasks as traffic direction, clerical work, custodial positions, and many others.

Substantial savings caused by good leadership can also be realized by small police agencies. The process of conceptualizing and implementing cost-effective procedures is similar in large and small agencies. In every size agency, the additional compensation necessary to provide effective leadership, is miniscule in comparison with the probable return on the investment.

One chief of a major agency, speaking on the compensations of peers, summarized the issue:

All these things available to the public through good police administration add up to the public not being able to afford the majority of those police chief executives who will accept a compensation just a little above that of the basic rank. The police chief executive has a tremendous impact on the cost of police service. In a major city his budget runs into the millions. In industry the top executive makes several times as much as a journeyman. The reason is obvious, competent leadership is cost effective.

Just as police agencies vary, the communities employing them differ in their local traditions, police service requirements, political climates, and in their capacity to provide the human and material resources essential to high quality service. Technology, mobility, and population growth, however, have brought to small towns and rural America the complications of urban life, including crime. Every community expects and should receive effective, professional police service.

The ability to provide effective, professional police service must be a requirement for every police chief executive worthy of the office. This ability, however, is acquired only by those dedicated individuals whose desire to serve well is matched by experience and superior training.

The police service must develop existing and new frontiers of prevention, deterrence, detection, and apprehension. Professionalism, moreover, loses its meaning unless full advantage is taken of all that is available in the technical, electronic, managerial, and behavioral sciences to enhance society's safety and freedom. In turn, the ready availability of new and better tools loses its significance unless a police service has the personnel and leadership to put them to use. Educated, devoted, and highly trained leaders no longer are niceties in law enforcement. They are necessities.

Professional leadership must be implicit in law enforcement's highest office, not only to halt massive victimization, but to reduce the monumental financial burden that crime thrusts upon the people. This

double-barreled problem demands the most capable organizers, administrators, and directors of human effort as well as material resources.

Standard 3 defines the calibre of police chief executives essential to the delivery of effective service. Other standards discuss the magnitude of their obligations to the public. Government officials empowered to attract and employ police chief executives would do well to follow the example of private industry and recruit to positions of leadership only those whose credentials are equal to the task. Similarly, they are obligated to encourage the retention of highly qualified leaders by providing compensation that truly reflects the authority, duties, responsibilities, and standards of the concerned office. Equitable compensation should attract professional, qualified leaders to police chief executive positions. Periodic salary adjustments should serve to keep these leaders in their positions.

It is recognized that each police agency because of its size and location is unique; yet all police agencies share similarities of purpose. A compensation plan for police chief executives should take into consideration the unique and the similar aspects of the agencies it covers.

Compensation for police chief executives should vary with the demands of the positions and the economic environments of the agencies. At the same time, the processes employed to determine appropriate salaries for police chief executives need not be dissimilar.

Whatever compensation plan is used, every governing body should compensate the police chief executive commensurate with the authority, duties, responsibilities, and standards of the position held. Compression of top management salaries should be avoided by maintaining an appropriate differential between the police chief executive and subordinate positions. This differential should be maintained without tying the police chief executive's compensation into labor/management negotiations.

States should establish compensation plans that include police chief executives of State agencies. The value of such plans, in addition to attracting and retaining effective police leaders, is that they can be used as models by local jurisdictions. Model compensation plans, however, may require modification by cities and counties to fit local needs and conditions.

States should also take the lead in providing compensatory benefits for police chief executives other than salaries, particularly in the area of pensions. Several States have pension systems that permit continuous membership to police chief executives even though tenure is accrued through employment by more than one agency within the State. California has such a pension system. In addition to establishing

similar systems, States should consider negotiating pension reciprocity agreements.

The value of a dedicated and qualified police chief executive can reasonably be expected to increase during the first several years in office. Although the compensation should be based on an evaluation of the position, it would also be appropriate to schedule the compensation range into specified merit steps. The merit step for the police chief executive may be determined by an evaluation of the individual's credentials or performance, depending upon whether the appropriate salary schedule is being considered for a candidate or for an incumbent (Standard 17).

In California, 72 percent of the salaries of superior court judges is paid by the State, the employing counties pay the remainder. Variations on this process are repeated in many other States. Similar methods of compensating police chief executives should be employed to elevate the police chief executives' salaries to an appropriate level.

Several different methods are being used to establish and to maintain salaries for police chief executives. Most of the methods used to determine salary ranges and periodic adjustments do not set equitable rates for police chief executives. It is encouraging that the efforts are being made, however. They lend credence to an assumption that those empowered to set compensations for police chief executives do desire to base those compensations on relevant indicators.

Comparable Compensation

Many governing bodies have entered into agreements with the police agencies in their jurisdiction that the salaries of police officers, including police chief executives, will be equal to police salaries in other specified jurisdictions. The other jurisdictions with which the police pay schedule will remain comparable are within a particular geographic boundary, usually within the State.

Such compensation agreements might be equitable if all of the police agencies were within the same economic environment, and had identical duties and needs. Agencies within a given geographic boundary are not identical, however. As the agencies vary, so do the demands of the police chief executive position. The compensation for a police chief executive should be based on the demands of the particular position. Individual agency needs are ignored when this system is used to determine salaries.

The flaw in this system becomes more pronounced as more jurisdictions adopt the same agreement. Even when only one or two agencies use it within a geographic area, it tends to involve the government and police personnel of one jurisdiction in the fiscal

affairs of other jurisdictions. As wage issues are decided in the one, they are mandated in the others.

Compensation Relative to Other Department Heads

Another commonly used compensation formula maintains the police chief executive's salary at a fixed position in relation to other jurisdictional department heads such as the general managers of public works departments, departments of sanitation, departments of water and power, and fire departments.

No argument is offered here to realign the juxtapositions of those department heads. The compensation of none should be predicated upon that of the others. The compensation of each should be predicated upon the specific demands of the positions.

Yet, this formula has persisted over the years. Even if it had been a step toward equanimity at the time that it was first used, it is the opinion of this Committee that changes during the intervening years in the demands of the various positions have caused this formula to become totally outdated.

Ceilings Imposed by Salaries of Elected Officials

There should be no fixed relationship between the compensations of elected governmental officials and police chief executives. Whether a mayor, Governor, or legislator earns \$1,000 or \$100,000 per year should have no bearing on the compensations of police chief executives within the same jurisdiction.

It is understood in many jurisdictions that no general manager, including the police chief executive, will be compensated at a higher rate than is the senior elected governmental executive. The police chief executive's compensation, however, should not be based upon the compensation of someone whose job requirements are entirely different.

Where this is practiced, false ceilings can be imposed upon the police chief executive's compensation. The imposition of such a false ceiling has the same effect as across-the-board adjustments: salary compressions are created within top management positions.

If the demands of the police chief executive's position warrant a salary that exceeds the salary of the governmental executive head, that official's salary should not be a barrier to proper compensation for the police chief executive. Similarly, the police chief executive's compensation should not exceed its proper level regardless of the income of elected officials.

Across-the-Board Adjustments

One method of adjusting police salaries is to increase the salaries for all ranks by the same amount.

This method is supported by the argument that the salary budget is distributed most fairly this way, because the largest portion of the budget is distributed to those who need it the most—the officers on the lower end of the salary scale.

This method is inadequate for two reasons: (1) Every employee of the police agency should be paid according to the demands of the job, and job demands are not a factor in this salary adjustment method; (2) This method tends to compress the difference between top management's salaries and all other police officers' salaries. A result of this compression is that the assumption of increased responsibilities, as an officer goes up the management ladder, is not adequately rewarded.

Comparable Percentage Adjustments

Periodic adjustments should be made by percentage increments. To avoid compression, it is important that adjustments for police chief executives be calculated in a manner designed to maintain appropriate differentials between the police chief executive's compensation and the compensations of subordinate personnel.

An appropriate differential could be maintained by adjusting the police chief executive's compensation by a percentage at least equivalent to the percentage used to calculate adjustments for other sworn agency personnel. Recent trends have imposed conditions on compensation adjustments that make strict adherence to this procedure less viable, however.

Laws that mandate labor negotiations have added a new dimension to the processes of adjusting all police officers' salaries. Police employee organizations are becoming increasingly aggressive in salary-related job actions and police strikes, once a rarity, are now increasing. Police chief executives are duty bound to oppose job slowdowns, unauthorized absenteeism such as "blue flu," and strikes.

When such job actions are implemented to influence the outcome of wage disputes, which would result in a comparable adjustment of the police chief executive's wage, the police chief executive is placed in a position where the appearance of compromise may be unavoidable. Administrative measures taken to dissuade or correct improper employee activities must not be subject to doubt or criticism due to the influence that such actions may have on the executives' personal incomes.

Yet, a way must be found to maintain an appropriate compensation differential between the police chief executives and their subordinates.

The answer lies in establishing a plan for each police chief executive position that provides for compensation commensurate with the authorities, duties, responsibilities, and standards of the position. Police

chief executives' salaries must not be tied to the salary negotiations of subordinate police officers.

Compensation Based on Evaluation of the Position

Compensation ranges for police chief executives should be based on the requirements of the positions rather than on the persons who occupy or might occupy the positions. Therefore, each position needs to be clearly defined and thoroughly understood. Such knowledge can best be acquired by dissecting the position and carefully analyzing each of its components. A value, determined by analysis, needs to be placed upon each position component. A primary factor in establishing compensation rates is then the total of the values of the position's components.

This position analysis and value determination must be performed by objective persons with professional expertise in the field of job evaluation. The evaluators must have the ability to weigh each of the many requirements of a police chief executive's position against a valid base. Those bases usually are found within the private business sector of the police agencies' economic environment.

There will be no attempt here to describe methodically the complexities of a valid job evaluation of police chief executive positions. Evaluations should be conducted by professional consultants who would need no such direction from this Report. (See Standard 1 for a description of how to choose capable, professional consultants.)

Indepth position evaluations are being conducted with increasing frequency on all levels of government from municipal to Federal. Those evaluations are being conducted for the purpose of establishing and maintaining compensations that are commensurate with the requirements of the positions evaluated.

During the interview stage of this study, the most frequently encountered reservation about the application of position analysis to setting and adjusting salaries of police chief executives was that police chief executives have no counterparts in private industry to whom their job requirements could be compared. This reservation can be dispelled by reviewing the position analysis methods used by the Federal, State, and municipal governments. Although all of the following plans do not now affect police chief executive positions, they do affect governmental professions for which there are no private industry counterparts. Each plan could serve as a model for a police chief executive compensation plan.

Federal Level

In accordance with the Federal Salary Reform Act of 1962, the Bureau of Labor Statistics is required to conduct annually a national survey of salary rates

for many professional, administrative, technical, and clerical jobs in the private sector. The data from these surveys are used to compare pay in private industry with pay in the Federal Government.

Since 1966, the Bureau of Labor Statistics has collected data on total compensation within the private, nonfarm economy in addition to data on specific salary rates. These data are used to establish salaries for Federal professional, administrative, technical, and clerical positions that are comparable to the salaries for similar positions in the private, nonfarm economy.

The Civil Service Commission and the Office of Management and Budget, acting as the President's agents in accordance with the Federal Pay Comparability Act of 1970, use the Bureau of Labor Statistics survey data as the basis for developing recommendations for pay adjustments for Federal employees. The survey data are also used as benchmarks by business, labor unions, professional societies, trade associations, and State and local agencies. The compilation of data is a basic reference source for salary administrators, recruiters, career counselors, and planners, to name a few.

In July 1975, Congress enacted a compensation plan that tied the annual salary adjustments of U.S. Representatives, U.S. Senators, executive heads of the various Federal departments, and Federal judges to the survey.

Many Federal employees, including judges, will receive salary adjustments by virtue of this congressional action for the first time since 1969.

Whether or not administrators of police chief executive salaries look toward the Federal Comparability Act of 1970 as a model, current utilization of the Bureau of Labor Statistics Professional, Administrative, Technical, and Clerical (PATC) surveys certainly refutes any argument that compensation for police chief executives cannot be compared to compensations in the private business sector. Federal judges and U.S. legislators have no counterparts in the private sector, yet their salary adjustments will be determined by a study of private, nonfarm salary rates.

State Level

Most States are capable of developing internal methods for maintaining comparable compensation schedules. Several of them, including California, have done so. Every State should formulate compensation plans that include police chief executives of State agencies and that could serve as models for local jurisdictions. Ideally, a State's methodology for maintaining equitable salaries should be adaptable for local agencies.

California has a compensation adjustment system that closely parallels that used by the Federal Government. In accordance with Section 18850 of the California Government Code, the State Personnel Board is charged with establishing and adjusting salary ranges for each class of position in the State civil service. The California Government Code further specifies that consideration shall be given to the prevailing rates for comparable service in other public employment and in private business.

In order to fulfill this responsibility, the State Personnel Board conducts semiannual surveys of wages and salaries paid to government and private sector employees in high population areas of the State.

The board utilizes the statistical findings from its salary surveys to make appropriate adjustments in the salaries of State civil-service employees, including professional and technical personnel.

In 1973, the State Personnel Board caused an analysis to be made of the State's compensation policies and practices. The analysis was conducted by a private management consultant firm.

The consulting firm made numerous recommendations for improving the system. The consultants reported, however, that, "The design of the current private industry survey conducted by the State Personnel Board is essentially sound."

The consultants recommended that the survey be expanded to include a larger number of supervisory, managerial, technical, and professional jobs. Specific occupations mentioned were auditors, engineers, and attorneys.

Although the California system does not affect the salaries of State employees who hold non-civil-service positions, such a system could serve as a model compensation plan for police chief executives.

Local Level

Local jurisdictions are not apt to have the professional expertise or other resources to conduct their own surveys and to translate them into compensation plans. Those jurisdictions should contract that service from one of several reputable private firms throughout the country. (See Standard 1 for a discussion of outside consultants.)

Within the past few years, job evaluations have been conducted and compensation plans formulated for several police agencies. Some of those agencies include: the Honolulu Police Department; the Denver Police Department; the Anne Arundel County (Md.) Police Department; the California Highway Patrol; the Cincinnati Police Department; and the Los Angeles Police Department.

In Los Angeles, the compensation plan as formulated by the contracting firm was enacted into the local ordinances of the city. The plan includes a

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formula and a methodology for annual compensation adjustments for sworn officers. The formula is computed annually and applied to the agency's salary structure by the City Administrative Officer. The City Administrative Officer then recommends to the City Council that compensations be adjusted as indicated by formula calculations.

Although employee/management issues are negotiated annually and compensation adjustments are part of the annual agreement between the city and the employee representative association, both sides enter into negotiations with the knowledge that the validity of the compensation formula has been established by ordinance and affirmed by court decisions. Therefore, the root cause of most police job actions in other jurisdictions is not a subject of controversy during these proceedings.

An equitable compensation plan is valuable in many ways. Each plan should be tailored to the unique requirements of the positions within the police agency to which it will be applied. The plan should cover the police chief executive's compensation adjustments. The police chief executive's salary adjustments may then be calculated using a percentage that is no less than the percentage used to calculate compensation adjustments for other sworn personnel. This plan keeps the police chief executive's salary from being influenced by labor-oriented demands, avoids compression of salaries, and leaves the police chief executive free to take necessary administrative measures regarding job actions.

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Related Standards

The following standards may be applicable in implementing Standard 7:

- 3 Minimum Qualifications for Future Police Chief Executives
- 17 Assessing the Performance of Police Chief Executives

Standard 8

A Clear and Mutual Understanding

Every police chief executive candidate who is judged most qualified and every potential immediate superior, as part of the final phase of the selection process, should reach a clear and mutual understanding of each other's responsibilities, priorities, and enforcement philosophies relating to police agency operations. A candidate from outside the agency should conduct an abbreviated Assessment by the Police Chief Executive (Standard 9) to form a basis for reaching a clear and mutual understanding with his potential immediate superior.

Police chief executives and superiors must define, where not delineated by law, the police chief executive's powers, authority, and accountability. Every superior and police chief executive must agree that the police chief executive always must retain the power to act in the best interest of public safety. The police chief executive's command and decision-making authority including his role in the selection, promotion, discipline, and termination of police personnel must be discussed. Where these powers are defined by law, the interpretation and understanding of the actual application of these laws as they relate to the police chief executive's role should be discussed and mutually understood.

Police chief executives and their superiors must understand and agree in that understanding that both must be committed to the fair and impartial enforce-

ment of the law and to the maintenance of professional standards of ethics and integrity. Police executives and their superiors should discuss and generally agree on enforcement priorities as perceived by the community, the superior, and the new police chief executive.

Police chief executive designates and their superiors should discuss other important and specific matters such as: salaries and benefits, working hours, method and frequency of reporting to the superior, assessment of performance, and involvement in civic and professional organizations.

If the police chief executive designate's superior requests that new goals and programs be implemented or that significant modifications in agency operations be attained, a commitment of resources and a reasonable time period within which to obtain results must be granted to the new police chief executive.

Commentary

An important step in selecting a new police chief executive occurs during the final phase of the selection process. After completing the prior steps of the selection process, the appointing authority and the police chief designate should meet for the purpose of developing an understanding of their future relationship and of their respective roles. A mutual un-

derstanding should be reached of each other's responsibilities, priorities, and enforcement philosophies relating to police agency operations. Preappointment meetings should enable each to gain insight into the other's character, values, and management style, establishing the basis for a long and productive working relationship.

It is stated elsewhere in this report that the tenure of police chief executives is frequently of such short duration that it causes a lack of stability within police agencies. An understanding on the part of both the candidate and the appointing authority can do much to avoid a shortened tenure by ensuring compatibility. Without a clear and mutual understanding, there exists a trial and error relationship that may lead eventually either to a clear and mutual understanding or to the replacement of the police chief executive.

A city manager expressed the concern for compatibility that many superiors have, with the statement:

At this point in the selection process it is clear that the candidate has the basic qualifications to perform the police chief's job, the question now is whether I can work collaboratively and harmoniously with the candidate and vice versa, and whether he can be part of my management team.

Becoming a police chief, sheriff, or head of a State police agency usually occurs only once in the lifetime of those selected. Ninety-four percent of the police chief executives surveyed for this Report had not been police chief executives immediately prior to holding their present positions (PCE I, #0). During personal interviews, several police chief executives expressed the opinion that most new police chiefs, due to a lack of experience and knowledge, do not appreciate the importance of the initial meetings with their prospective superiors and are not aware of the important matters that should be discussed.

In addition to both parties' important and immediate goal of seeing eye-to-eye, the police chief executive candidate should attempt to measure the degree of support he can anticipate from his superior. The superior must give the police chief executive his full support in providing lawful, fair, and impartial law enforcement services. The candidate must also obtain a clear commitment from the superior that he will be able to administer an agency free from improper political influence, and to maintain professional standards of ethics and integrity in all agency operations.

As a practical matter, some candidates will find it difficult to press the appointing authority for answers on issues that the appointing authority does not want to discuss. In most cases, the candidate will be flattered to be considered for the important police chief executive position. A strong desire to accept the position may cause the candidate to postpone a

discussion of some important issues until after the position is assured. If there is no clear and mutual understanding prior to acceptance of the position, however, the purpose of this standard is defeated. If either party is not prepared to discuss key issues at their first meeting, they should be prepared to discuss them at future meetings prior to appointment to the position.

Because it is unlikely that everything can be covered adequately during one meeting, especially if no prior working relationship existed between the candidate and the superior, three or four meetings may be necessary. During the first meeting, discussions may center on the basic philosophical concepts and backgrounds of both persons. Subsequent meetings should include specific items. Both parties should bring to the discussion those items that they consider important, and the most important items should be discussed first.

To identify key issues, candidates from outside the agency should learn about the community, the government, and the police agency. Agency strengths and weaknesses should be identified.

The outside candidate may not be ready during the first meeting with the appointing authority to discuss specific issues and should be permitted to conduct a limited assessment of the agency. Standard 9 provides guidelines for new police chief executives to assess the community, government, and agency. The abbreviated assessment by the designated candidate should be less detailed, but all of the areas discussed in Standard 9 should be assessed generally. A feel for community support, freedom from political interference, and agency integrity and competence is essential. One out-of-State candidate, before accepting the position, spent 4 days interviewing elected officials, appointed officials, police chief executives from neighboring agencies, individuals and groups from the business community, newspaper editors, and agency personnel of upper and lower ranks to learn about the community, government, and agency.

Candidates from within the community but outside the agency will not need to make as thorough an assessment. The candidate's knowledge about the community, government, and agency will govern the depth of the assessment required.

Superiors of Police Chief Executives

Some insight into the superiors of police chief executives should be helpful to prospective police chief executives. The survey for this Report revealed that municipal and county police chief executives, excluding sheriffs, were directly responsible to the following individuals or groups: 31 percent to mayors, 32 percent to city managers, 10 percent to a di-

rector or commissioner of public safety, 18 percent to a city council, 7 percent to a police commission, and 1 percent to the electorate (PCE I #K).

Responses to the survey also showed that 60 percent of municipal and county police chiefs report exclusively to individuals, 23 percent report to a board, and 14 percent are responsible to an individual as well as to a council or board (PCE I #J). Persons interviewed for this Report indicated that some of the police chiefs who are responsible to an individual as well as a group, respond to the group regarding limited matters such as fiscal or personnel matters, but were responsible more directly to an individual.

Of the municipal and county police chiefs surveyed, excluding sheriffs, 53 percent indicated that supervision of police chief executives is best performed by an individual (PCE II #12). Even though 30 percent of the respondents report directly to a board, 45 percent of all the respondents indicated that supervision was best performed by a board acting through a majority vote. The police chiefs were opposed nearly unanimously to being supervised by any member of a board acting individually, by over 99 percent (PCE II #12).

Sheriffs indicated the title of their superior as follows: 61 percent report to the electorate, 28 percent to their county supervisor or board, 4 percent to their State Governor, and the remainder to other individuals or groups (PCE I #K). Only 1 percent of sheriffs report to both individuals and groups, and they all represent agencies with fewer than 75 personnel (PCE I #J).

Ninety-five percent of the heads of State police and highway patrol agencies report to individuals, and only 5 percent report to boards (PCE I #J). More than one-half of those who report to individuals actually report to Governors (PCE I #K).

Individuals as superiors are most common in large agencies with more than 1,000 personnel (82 percent), but only 36 percent of small agencies (fewer than 15 personnel) report to individuals. Ten percent of large agency chiefs report to a board, and 33 percent of small agency police chief executives report to a board. Only 2 percent of large agency chiefs are responsible directly to both an individual and board, and 13 percent of small agency police chief executives report to both (PCE I #J).

Nonelected officials most frequently exercise direct, individual authority over police chief executives (Superior #1). Of the nonelected superiors, 76 percent exercise direct authority over their police chief executive, 16 percent share authority, and 5 percent head a board that supervises the police chief executive. Forty-seven percent of the elected superiors exercise direct authority over their chiefs, 17 percent

share authority, and 33 percent head a board with authority over the police chief executive.

In addition to having a national profile of police chief executives' superiors, the candidate will benefit if he knows something about his superior's professional background before their last meeting preceding his taking of office. At this point in the process, the superior will have indepth knowledge of the candidate's background, and the superior should ensure that the candidate has general knowledge of the superior's background. A superior who has been a police chief or judge can be expected to have a different perspective about the police agency and the criminal justice system than a person who has had no direct experience with the criminal justice system. Their relationship with their police chief executive, and their degree of interest and involvement in agency affairs may differ.

The police chief executive should recognize that the supervising individual or individuals may change. Some jurisdictions rotate the honor of being mayor among the council members. Each year a different council member may be designated as mayor and each year the police chief executive may have a different supervisor, not bound by any mutual understandings between the police chief executive and previous mayors. New Governors and mayors are elected, new commissioners and supervising boards are appointed, and city managers may retire or move to other jurisdictions. (During the interview phase of this study, several police chiefs complained that the tenure of city managers was short, and they suggested that a study should be conducted to suggest ways to give stability to that position.) The guidelines discussed in this standard are applicable whenever a new superior assumes the position. Whenever the superior of a police chief executive changes, for whatever reasons, a new mutual understanding should be reached between both parties.

Some police chief executives suggested that where there is an agreement on important issues, the agreement should be reduced to writing. As a practical matter, written agreements between a police chief executive candidate and his superior on issues discussed in this standard are not recommended. When the police chief executives becomes a member of the superior's management team, he will be making critical decisions continually and he will be helping his superior make critical decisions. Teamwork requires that every team member trusts and relies on every other member of the team. Written agreements imply a lack of trust, they are not necessarily binding, and they imply rigidity that, in some cases, is not desirable.

Significant Issues to Be Discussed

The issues discussed in the following pages are matters that surfaced during interviews for this Report. This discussion will provide candidates with a framework for developing their own agenda for meetings with their prospective superior.

Management Authority of the Police Chief Executive. Basic to an effective relationship between police chief executives and their superiors is a clear agreement between them over the extent of the police chief executive's authority to administer the agency. The degree of authority police chief executives have over personnel matters such as discipline, promotion, and assignment is an indication of who really runs the police agency.

The authority most commonly exercised by police chief executives fits into three general categories. In the first category, the police chief executive has the administrative authority to make independent decisions affecting the operation of his agency, subject to supervisory review. In practice, the most sensitive issues are discussed with the superior prior to acting, important decisions are made and the superior is informed after the fact, and routine decisions are made and never brought to the superior's attention. The police chief executive must have a clear method of and good judgment in classifying items as sensitive, important, or routine. This first decisionmaking category provides the police chief executive with the management authority that an effective administrator and leader of the agency must have. In the second category, which is less desirable, all sensitive and important matters and proposed decisions are discussed beforehand with the superior and the police chief executive then takes action. In the last category, every routine administrative problem is taken to the superior who makes the decision that the police chief executive then implements.

Police chief executives who fit into the last category are in no position to provide leadership to the police agency. In agencies where every routine administrative problem is taken to the superior for a decision, one of two situations exists: police leadership is provided by the superior and not the police chief executive, or the agency is void of leadership.

The degree of management authority granted to the police chief executive depends upon the ability and judgment of both the police chief executive and the superior. There should be a mutual understanding at one of the preemployment meetings on the degree of management authority that the police chief executive will have.

Agency Reverence for the Law. Police chief executive candidates should have a clear understanding of the integrity of agency personnel and there must

be a mutual understanding with the superiors about necessary corrective action if it is needed. Both parties should have a devoted commitment to the law and its fair and impartial enforcement. They must agree to maintain professional standards of ethics and integrity in all agency operations. Preemployment discussions should include personal philosophies regarding the law and integrity. During interviews conducted for this study, one police chief who had held that position in three other police agencies stated, "The ethics and integrity issues must be resolved right off the bat."

Standard 1 of this Report stresses the need for a preselection assessment of the police agency to permit the selection of a police chief executive to match the needs of the agency. Interviews for this study revealed that several police chief executives resigned or were dismissed because their personal standards did not match their superior's standards of integrity: they were reported to be too high in one case and too low in others.

Candidates from outside the agency and even some internal candidates should assess the agency's reputation for integrity and respect for the law. Interviews with agency employees, community residents, businessmen, and newspaper editors, as well as agency inspections can provide information to help judge agency integrity.

In one police agency, the chief of police issued management principles and distributed them to agency employees. The first principle clearly describes the meaning of reverence for the law:

The main thrust of a peace officer's duties consists of an attempt to enforce the law. In our application of the law we must do it within the legal spirit which was so clearly set forth by the framers of the Bill of Rights, which was an original part of our Constitution. That Bill has as its purpose elevating the rights of each citizen to a position co-equal with the state which might accuse him. Its purpose was to provide for an enforcement of the law with fundamental fairness and equity. Because of the Bill of Rights, the dignity of the individual person in America was placed in an almost sacred position of importance.

A peace officer's enforcement should not be done in grudging adherence to the legal rights of the accused, but in a sincere spirit of seeing all of his rights as far as it is within the powers of the police.

In the discharge of our enforcement of criminal statutes, the peace officer must scrupulously avoid any conduct which would make him a violator of the law. The solution of a crime, or the arrest of a law breaker, can never justify the peace officer committing a felony as an expedient for the enforcement of the law.

We as peace officers should do our utmost to foster a reverence for the law. We can start best by displaying a reverence for the legal rights of our fellow citizens and a reverence for the law itself.¹

¹ Edward M. Davis, "Management Principles of the Los Angeles Police Department" (Los Angeles Police Academy, 1975).

Other Important Matters. There are some matters that may seem insignificant, and that the candidate therefore may be reluctant to bring up with the superior. Interviews conducted for this study, revealed that it was not uncommon for strained relationships to develop between police chief executives and their superiors due to misunderstandings. Such items include compensation, working hours, frequency and method of reporting to the superior, assessment of performance, and involvement in civic and professional organizations. Preemployment discussions of these matters may prevent misunderstandings. Individually, they may be less significant than other issues but taken together, they may affect the candidate's decision to accept the position.

The police chief executive candidate should have a clear understanding of his beginning salary and benefits, whether salary increases may be given, and whether they are automatic increases after a fixed time or based on merit. If salary and benefits are negotiable, they should be discussed at one of the preemployment meetings.

With a 24-hour, 7-days-a-week operation, and with many luncheon and evening commitments, police chief executives often may work long and odd hours. Wise candidates will learn the hours their superiors expect them to maintain office hours, and will discuss possible deviations in office hours with their superiors.

Police chief executives may expect an annual vacation, but in some jurisdictions will have to work 1 full year before vacation time accrues. Where permitted, lateral entrant police chief executives may be given vacation time off during their first year of employment.

Standard 17 suggests criteria for assessing performance of police chief executives. There should be

an understanding of the assessment criteria before the performance assessment period begins.

Police chief executives frequently are called upon to take an active role in a great many civic and professional activities as a part of their professional responsibilities. In many cases, they have developed memberships in many associations over the years to which they have continuing responsibilities. Those associations benefit the jurisdiction, the law enforcement profession, and the professional development of the participating police chief executive.

In order to fulfill those responsibilities, it may be necessary for a police chief executive to be away from the jurisdiction or to spend time on those activities that might otherwise be given more directly to agency matters. Prospective police chief executives should determine the degree to which involvement in outside agency activities will be permitted or encouraged.

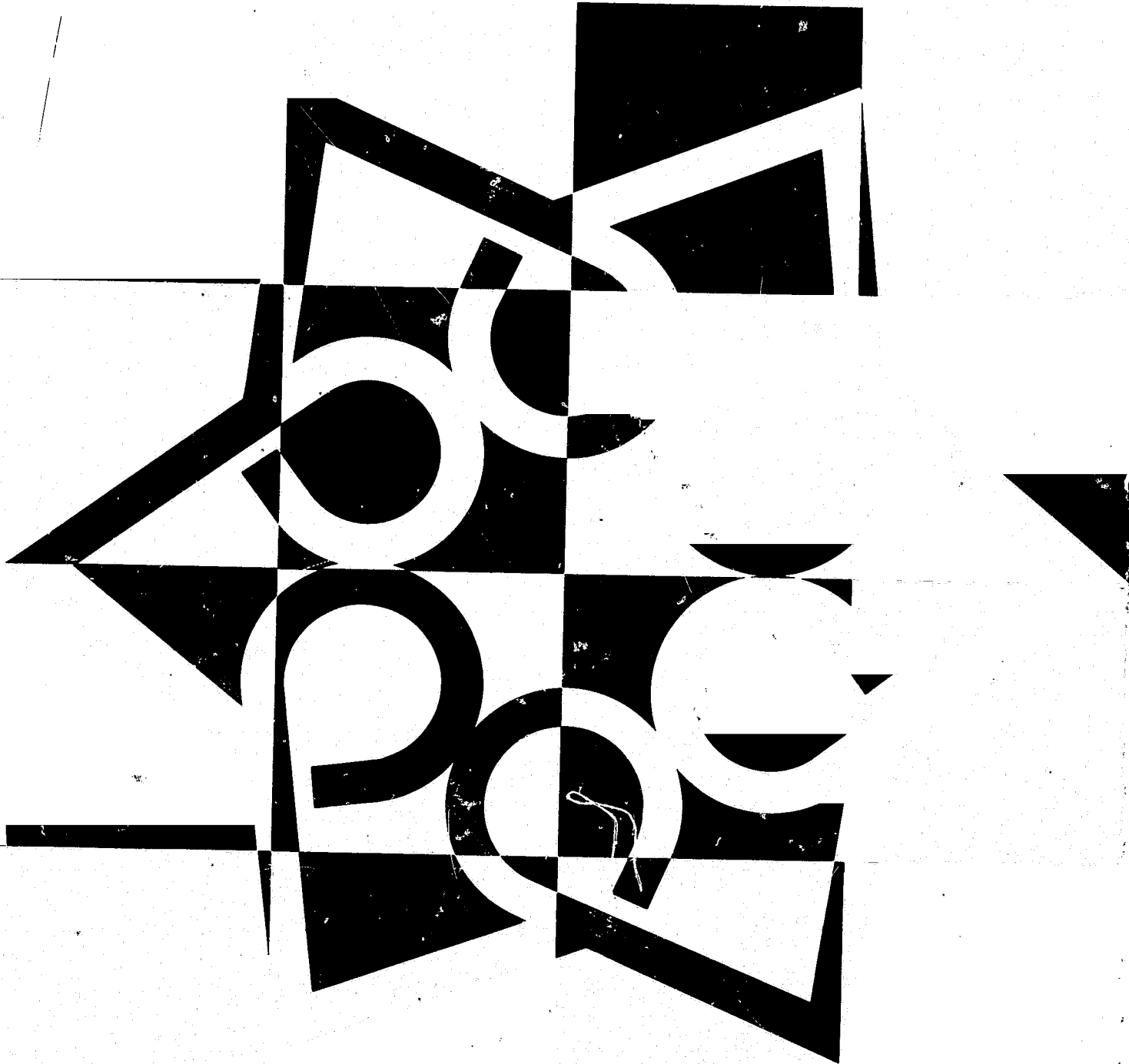
In most cases, the effective implementation of new programs requires additional personnel or fiscal resources. The attainment of modifications in agency operations require time as well as management effort. Therefore, superiors requesting implementation of new programs or modifications in agency operations should agree to support requests for the necessary resources and provide a reasonable time period for the new police chief executive to obtain results.

Related Standards

The following standards may be applicable in implementing Standard 8:

- 1 Preselection Assessment of the Agency
- 9 Assessment by Police Chief Executives
- 13 Lawful, Impartial, and Effective Police Service
- 17 Assessing the Performance of Police Chief Executives

Part 3
Retention of Qualified
Police Chief Executives



INTRODUCTION

In Part 2 of this Report, standards are presented that will help appointing authorities select qualified police chief executives. Part 3 proposes standards that should help retain qualified police chief executives and maintain effective police leadership. Together, they offer guidelines to increase the tenure of competent leaders in the police service.

Police chief executives and their superiors, through interviews and questionnaire responses, provided essential data on which the Committee was able to base these standards on retention. Personal, candid interviews provided information that could not be captured through the use of questionnaires alone. The resulting standards suggest a pragmatic approach to retention that is not available elsewhere. An overview of the 10 standards in Part 3 follows.

Standard 9: Assessment by Police Chief Executives

During the first weeks of the appointment or if possible before, new police chief executives can make the most impartial and objective assessment of the internal and external condition of the agencies they are about to head. Whether promoted from inside the agency or coming from outside, new police chief executives need to have a good picture of the total environment in which they and the agencies they lead must operate. Having perceived the strengths and weaknesses of the agency, new police chief executives should be in a better position to direct their resources to the true needs of their agency and community. How they can go about making a systematic evaluation, the benefits of an early assessment, and the impact that such an evaluation can have upon future decisions are discussed in Standard 9.

Standard 10: Management Teams

Except in the smallest police agencies, a police chief executive will have subordinate command and

supervisory personnel who will be asked to make management decisions at one time or another. The agency's leadership will not be in the hands of only one person. How police chief executives organize and develop their subordinates is most critical to the success of agency programs. Management team and participative management concepts may be applied with great success to the decisionmaking and internal communications processes within police agencies. Standard 10 recommends methods that will encourage development of a cohesive and coordinated effort among police managers in an agency.

Standard 11: Establish and Communicate Objectives and Priorities

Once new police chief executives have assessed the needs of their agencies, they must identify the short- and long-range objectives and the priorities that will most effectively meet the policing needs of the community. Realistic goals will be achieved by the people in the organization and no matter how successful a police chief executive may be personally, the people within the agency are the keys to true success. Methods for involving agency personnel in the objective-setting process and for communicating objectives and priorities to the community and the agency are discussed in Standard 11. Also, areas that lend themselves to systematic objective- and priority-setting are outlined.

Standard 12: Early Identification of Police Agency Problems

Police chief executives who conscientiously acquire the skills necessary to identify problems will receive innumerable dividends. Police chief executives with those skills can keep abreast of circumstances within the agency and can recognize problems before they become insurmountable. These skills are discussed in Standard 12 in conjunction with the responses to a question asked of 1,665 police chief executives about proposed methods of

problem identification. By using some of the suggested methods, police chief executives should be able to develop "early warning signs" to serve their particular need. Standard 12 also lists the degree of severity assigned to 20 problems that commonly confront police chief executives in the United States today.

Standard 13: Lawful, Impartial, and Effective Police Service

The laws and constitutions of our States clearly define police powers and police discretion. As members of executive management teams, which include their superiors, police chief executives have a responsibility to remain responsive to the requests and direction of others and to maintain the independence necessary for the proper administration of their agencies. To be both responsive and independent, police chief executives must clearly understand their authority and accountability. They must ensure that the services their agencies provide are free from undue partisan interference or influence. Although these influences can be strong, the police chief executive has a moral and professional obligation to ensure that all of the agency's policies and procedures are applied lawfully and impartially.

Standard 14: Interactions Within the Criminal Justice System

Police chief executives have an important place in the development of an effective, cohesive criminal justice system. For too long, the police have seen themselves as separate from the total criminal justice system—as having no influence on the other criminal justice system processes. It should be every police chief executive's goal to open and maintain communications among the various criminal justice system practitioners, and to develop effective relationships between the various groups. Police chief executives, because of their pivotal position within the system and the community, may be in the best position to act as a catalyst in bringing the agencies of the local or regional system closer together for the purpose of identifying and resolving mutual problems.

Standard 15: Public Expression of Professional Opinion

The public always has been interested in its police service, and as more information has become available through the media, the public has increased its

inquiries about and interest in the police. Public interest and the increasing call for openness in government combine to give police chief executives a special responsibility. They must build public respect for the law and confidence in the police, dispel rumors, relieve public tension, and obtain public support for proper and effective law enforcement. As spokesmen for the community's interest in public safety and order, police chief executives should take the initiative to inform the public about public safety issues. To provide that information effectively, police chief executives should develop skills and programs discussed in Standard 15.

Standard 16: Regional and National Executive Enrichment and Development for Police Chief Executives

Police managers generally have developed their expertise by their own efforts. Their college or university educations usually have been acquired during their years of police service. Management or executive development programs that identify the needs of police managers or provide specific educational programs for police chief executives have only recently been developed. Because such programs increase the effectiveness of police leaders by exposing them to new and different concepts and by developing management skills, they contribute immeasurably toward improving the quality of law enforcement. Standard 16 recommends implementation, development, and expansion of regional and national executive development programs.

Standard 17: Assessing the Performance of Police Chief Executives

Judging the performance of police chief executives is one of the most difficult tasks for immediate superiors, particularly when they must decide whether or not to remove a police chief executive. Because the service provided by police agencies is so complex, defining objective assessment criteria always has been difficult. If immediate superiors hold their police chief executives properly accountable, however, as they have every right to do, some valid measuring device should be used. And police chief executives should know clearly what they are accountable for. Standard 17 outlines the results of research into the attitudes of police chief executives and their superiors about assessing police chief executive performance. Guidelines for practical and realistic assessments are recommended.

Standard 18: Administrative Due Process

All police chief executives should be accountable for their personal performances and the performances of their agencies. That accountability should be to superiors who have the authority to initiate punitive action against unethical or incompetent police chief executives. Punitive measures, however, should be based upon substantiated charges of misconduct as opposed to rumor, supposition, political expediency, or the impetuous or indiscreet unilateral action of one person. The interests of the public, of the police service, and of the police chief executive are best served if allegations of improprieties against

police chief executives are resolved in a manner that assures that justice will be served. This can be achieved through a system of due process in which such matters are resolved in formal public hearings in a manner prescribed by administrative law.

Part 3 of the Police Chief Executive Report has two purposes. First, its recommendations are meant to aid current and future police practitioners looking for methods to lead their agencies effectively. Second, recommendations are made to assist police chief executives and their superiors in developing an effective working relationship, one in which both parties can function effectively and cooperatively.

Standard 9

Assessment by Police Chief Executives

Every new police chief executive should survey the police service needs of the community and the ability of the police agency to meet those needs. To this end, new police chief executives immediately should initiate assessments of:

- The community to ascertain its needs and its attitudes and opinions on issues that affect public safety;
- The local governmental and political systems that affect the police agency to ascertain their degree of support for the police agency;
- The police agency itself to reveal its strengths and weaknesses including personnel attitudes, agency policies, procedures, practices, and resources;
- The agency's relationship with neighboring police agencies to identify the need for and feasibility of mutual agreements; and
- The criminal justice system to reveal the nature of the agency's relationship with all other criminal justice agencies.

Commentary

Every one of America's 17,500 general purpose police agencies has its own policies, rules, and procedures under which it operates, and every agency

deploys its own resources. Police agencies are generally self-contained and self-administered, and they are independent and unique so they may be responsive to local needs.

Local control permits and requires decisionmaking at the local level. With adequate resources, local leadership can make the difference between effective police service and police service that is mediocre. To lead police agencies effectively, police chief executives must know what is going on in their own environments. All new police chief executives formally and systematically should assess their own and neighboring police agencies, other agencies in the criminal justice system, and the political and community environment.

Prior experience, whether it includes experience within the agency or experience as a police chief in another jurisdiction, should not relieve new police chief executives of their assessment responsibility. Sixty-seven percent of new police chief executives are selected internally, and their new role requires a fresh perspective based upon a current assessment (PCE I #P). The 6 percent of police chief executives who headed other police agencies before they took their present position clearly must assess their new and different environments (PCE I #O). Additionally, new police chief executives who held subordinate positions in other police agencies must

learn about the new environment and will want to ascertain the similarities and differences that exist between the two jurisdictions.

The assessment is especially important for the 10 percent of police chief executives whose immediate past positions were outside of law enforcement (PCE I #O). It is equally important for those new police chief executives whose experience in law enforcement did not include command assignments. This commentary provides guidelines designed to facilitate the assessment.

New police chief executives often find that many important issues compete for their time. Such matters should not deter them from conducting an assessment. In interviews, several police chief executives reported that one great value of an agency assessment is that the information acquired is invaluable in resolving many of those issues and in developing plans. Therefore, the assessment should be given the highest priority.

Assessing agency and community conditions may begin prior to the police chief executive assuming office. One police chief who was promoted from within the agency requested that the effective date of his promotion be delayed 2 weeks so that he could complete his assessment. Another police agency head appointed a subordinate to be the acting agency head for a few weeks while the new chief assessed the agency.

Community Assessment

The many factors that determine the policing needs of a community, including the ethnic composition, extent and nature of industry, and demography, should be assessed. The social, cultural, and religious attitudes; the degree of community acceptance of the police agency and its practices; and the community's perception of the quality of police service and protection also define the police service needs of the community and should be considered.

Community Support. In the survey, police chief executives and superiors acknowledged the importance of community opinion as an influential factor in appraising the police chief executive. Sixty-six percent of the police chief executives and 50 percent of the superiors indicated that community opinion is a frequently used appraisal factor (Figure 17.1, Standard 17). The police chief executive should know what the attitude toward the police service is in all sectors of the community. They can learn of public opinion by becoming aware of local news articles and editorials and of commendations and complaints from citizens. Additionally, police chief executives often interact with various community groups and individuals to establish two-way communication.

Local news media both reflect and affect public opinion. Police chief executives, for that reason, routinely read local newspaper articles, editorials, and letters to the editor to learn what the public and the media think. Large agency chiefs read the prominent newspapers and specific articles from newspapers they do not routinely read.

It is imperative that police chief executives recognize how the media affects the public. A free press serves the public by supplying information, stimulating thought, and providing a medium for expression. For these reasons, the police agency must be open to members of the press. Such openness must not, on the other hand, hamper police operations.

Police chief executives should examine the agency's relationship with the media. The chief should ask newspaper editors and officials of radio and television stations what their needs are in relation to the prompt, unbiased dissemination of police and public safety related information.

Complaints and commendations from citizens regarding the agency's personnel or practices can be a useful barometer for measuring public acceptance of the agency. Vague complaints such as "harassment," "prejudice," and "discourtesy" are indicators of non-acceptance even when specific acts of misconduct are not alleged. An absence of citizen complaints, however, does not mean that citizens are satisfied with police performance. Some agencies do not record citizen complaints.

The most obvious but often overlooked way to find out what people think is to ask them. One police chief executive conducted his own personal survey prior to taking command of an agency without identifying himself as the next police chief. He talked with many people within the community to find out what they thought of the agency and to determine how severely some recent bad publicity had affected the citizens' confidence in the agency.

A technique that some chiefs successfully use is to ask audiences to suggest topics for discussion. Speaking engagements before small, nonhostile groups can provide opportunities for two-way communication.

Questionnaire and interview surveys have been used successfully to learn about citizen attitudes. Not being satisfied that certain individuals truly represented the majority in the community, the chief of a large police agency caused a number of opinion surveys to be conducted to determine the community's acceptance of the agency. Community attitudes were different from that suggested by some spokesmen.

Each of the methods should answer immediate questions about community support and keep the police chief executive in touch with the needs of the community and its expectations for the police service.

Every police agency, to keep pace with changing needs of the community, should seek constantly to improve its ability to discover the needs and expectations of the public, to act upon those needs and expectations, and to inform the public of the efforts to deliver police service.

Demography/Ethnicity. Police chief executives are aware that they should know the size and composition of the community they serve so citizen needs can be met. Some chiefs, however, are not aware of the sources of statistical data. The Bureau of the Census routinely provides, and financial institutions and newspapers often publish, data that can be very helpful in learning about the community and identifying changing patterns. Population density, youth and elderly population configurations, and housing information can be obtained from published census data. Information on employment and economic trends is published by some banks. Special information on handicapped persons is often available from private organizations. Elected officials often can identify sources of information to help police chief executives serve groups with special needs.

Industry. New police chief executives must evaluate the extent and nature of industry in the jurisdiction to determine what special demands will be made on the police agency.

Industry, in the sense used here, is the heart and lifeblood of every community. To a great extent, it is the nucleus of the community, it attracts and supports those who make up the community. Smaller communities may have only one industry, large metropolitan areas, many. The number and nature of industries have a direct impact on a community's police service.

Sea resorts, for example, will make different demands on police service than will farming communities or manufacturing districts. At various times, labor/management issues in a given industry will be more volatile than in other industries. The ratio of permanent residents to transient residents is influenced by the type of industry. Public attitudes, philosophies, and expectations are impacted by primary sources of livelihood.

All of these things influence the police agency. Deployment, types of police activities, areas of police expertise, peak periods of activity, and agency programs, to name a few, are related to industry activities and influences.

Crime. Police chief executives should learn about crime and traffic problems promptly. An assessment should reveal the types of crimes and accidents that are most prevalent, and the location and times of occurrence. Accuracy of reporting, promptness of investigations, and clearance rates should be analyzed.

Much can be learned about a police agency from its reports and reporting procedures.

Governmental and Political Systems

The police agency is not autonomous: it exists in conjunction with other governmental agencies and is dependent upon them for support. Because of this interrelationship, new police chief executives must be aware of the government individuals and agencies that might influence the police agency and what that influence might be. The executive should assess the degree of government support the police agency receives, and the methods by which political influence is generated in the community.

This is not to suggest that police chief executives should become involved in local partisan politics. To the contrary, the purpose of this assessment is to establish mutually acceptable methods whereby the police agency can be responsive to the jurisdictional government without compromising police independence from special-interest intrusions.

Police chief executives should be alert to the involvement of law enforcement in politics. Where partisan politics rule a police agency, the agency cannot operate effectively for the general public. Conversely, where partisan politics dictate police policies, police agencies serve only a segment of the public. This condition also portends a total change in the agency's leadership with every change of political leadership.

The most direct and effective way to establish mutually acceptable administrative relationships is for the police chief executive to interview persons involved in local government. Through personal interviews, the police chief executive should try to determine the opinions of the mayor, city manager, city council members, aldermen, or heads of other government agencies on issues that affect the police service.

Internal Assessments

In the rare instances in which a police chief executive builds a department from the ground up, employees whose competence and professional ability are reasonably assured can be selected. But most new police chief executives inherit an existing staff in a functioning agency. New police chief executives should assess the strengths and weaknesses of the agency personnel immediately.

Sixty-nine percent of the superiors of police chief executives indicated that the quality of police personnel performance is the most influential factor in their assessment of a police chief executive (Superior #18). The police chief executive must, therefore,

continue to assess the performance of agency personnel.

The performance of personnel in all ranks should be evaluated. Their abilities, potentials, strengths, weaknesses, and attitudes should be examined. Recruitment, training, assignment, transfer, and advancement methods should be scrutinized. Methods that are found to be inefficient or otherwise inappropriate should be modified in accordance with contemporary needs and capabilities.

Assessment is the first step in building the management team discussed in Standard 10. It will help the new police chief executive in thinking about agency objectives and priorities, presented in Standard 11, and it will help identify internal problems, which is the subject of Standard 12.

New police chief executives should evaluate agency organization, policies, procedures, and programs. Objectives and priorities should be defined. Facilities, equipment, and other material resources should be examined. The capabilities that those resources provide for delivering routine and emergency service should be appraised. The need for resources should be ranked according to the degree of urgency.

The police chief executive should ascertain the degree of agency personnel involvement in labor, fraternal, and professional associations. The organizational structure, policies, practices, and jurisdiction of each association must also be ascertained.

Various techniques have been used successfully by police chief executives to conduct internal assessments. Before taking office, one new chief of a large agency personally interviewed all high-ranking officers within the agency, and had them write on a slip of paper the most pressing problems confronting the agency. Inspections, review of followup investigative reports, and informal meetings with field officers are other methods used. The various methods discussed in Standard 12 that have been used successfully by police chief executives to learn of internal problems may be applied to the assessment process.

The new police chief executive should also review the past annual budgets of the police agency and the governmental subdivision under which the budgetary process functions. The new executive should review the budgets as originally submitted by the police agency as well as the budgets that were actually approved and he should determine the reasons for deletion of items from the budgets. The entire budgeting process should be reviewed closely. With this information, the police chief executive will be able to present a realistic budget in the most effective terms. Police chief executives must have the skill to request and justify reasonable budgets that will support an efficient professional police agency.

Neighboring Agencies

Local governments often can benefit from some form of cooperative police service. Such cooperation frequently can upgrade police service because it minimizes duplication and may reduce expenses. The police chief executive must ensure that any agreement entered into is advantageous. Combining some police services should mean better service at the same or lower cost. But many factors must be considered before an agreement is made. Among these are the size of the agency, the geographic area, population density, and the legal responsibilities of the involved agencies. Mutual-aid agreements are an example of workable arrangements enabling agencies to respond jointly to emergencies in which the manpower and equipment requirements exceed the resources of a single agency.

Every police chief executive must assess the need for mutual agreements between his agency and other law enforcement agencies. Laws governing such arrangements must be researched thoroughly. Consideration should be given to the professional achievement level of each law enforcement agency with which any agreement may be negotiated. The agreement should define the legal status of agencies and agency personnel responding to requests from outside their normal jurisdictions.

No jurisdiction that is a party to a mutual-aid agreement should be permitted to rely on mutual aid for help in meeting the demands of normal peak periods of activity or to assist in any day-to-day operations. Small agencies adjacent to large metropolitan agencies may find it necessary to use mutual aid with some frequency. A strain on the mutual-aid relationship can occur when the response is usually from the larger agency to the smaller and seldom from the smaller to the larger.

Mutual-aid agreements are frequently quite complex. In California, for example, mutual aid is provided in accordance with the provisions of the California Emergency Services Act, California Master Mutual Aid Agreement, California Law Enforcement Mutual Aid Plan, pertinent portions of other State codes, and agreements among local law enforcement agencies. In that State, mutual aid is defined as the support and assistance rendered by regular and reserve peace officers of one jurisdiction to another in declared emergencies that do not involve labor controversies or war emergencies. Under California law, all of the privileges and immunities from liability, exemptions, and benefits that apply to law enforcement personnel within their respective jurisdictions remain in force while providing mutual aid.

Criminal activity is often multijurisdictional. The success of each police agency has a direct effect on

criminal activity in neighboring jurisdictions. The police chief executive must recognize certain criminal activity as a regional problem and realize that coping with it requires regional coordination. Where no such coordination exists, the police chief executive should stimulate the formation of professional police associations composed of police chief executives and other top-management police personnel from throughout the region.

By conferring regularly with neighboring counterparts, the police chief executive can keep abreast of developments connected with regional criminal activity, thus facilitating the implementation of informed and intelligent countermeasures.

Whatever the regional needs, every police chief executive has a responsibility to contribute to planning, developing, implementing, and maintaining regional anticrime efforts because of the potential effect on any local agency. Superiors of police chief executives believe that it is very important for a police chief executive to be knowledgeable or experienced in the coordination of agency activities with other organizations (Superior #11).

Criminal Justice System

Protection of society is a responsibility that is shared by each element of the criminal justice system. No element of the system completely discharges its share of that responsibility simply by achieving its own immediate objectives. The police, the prosecution, the courts, probation, parole, and corrections must cooperate with each other if the system is to operate effectively.

Police chief executives reported that in addition to crime, processing of adults and juveniles by the courts and the administration of the probation and corrections systems are sources of severe problems confronting them (PCE I #5). This underscores the need for new police chief executives to ascertain the strengths and weaknesses of all elements of the criminal justice system that have jurisdictions common to their agencies. The probation department's position on releasing juvenile arrestees for criminal

offenses, the conviction and sentencing practices of local judges, and the conviction and filing rates of the prosecuting agencies should be known. Police chief executives, therefore, must establish working relationships with the heads of other agencies in the criminal justice system. They also should encourage those officials to meet periodically in an effort to resolve mutual problems.

Because of its importance, the role of the police chief executive within the criminal justice system is discussed in detail in Standard 14.

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Related Standards

The following standards may be applicable in implementing Standard 9:

- 1 Preselection Assessment of the Agency
- 10 Management Teams
- 12 Early Identification of Police Agency Problems
- 14 Interaction Within the Criminal Justice System

Standard 10

Management Teams

Every police chief executive should foster an environment in which the executive and the immediate subordinates can develop cooperatively into a coordinated management team. Every police chief executive, in order to maintain an effective team of top-level police managers, should establish open communications. The police chief executive should encourage every member of the management team to participate actively in executive decisionmaking and policysetting. Every police chief executive should retain the authority to affirm agency policies and executive decisions.

Every police chief executive should ensure that each person responsible for making management decisions possesses the highest level of competence and unquestionable integrity. Immediate subordinates of the police chief executive should be persons in whom confidence can be placed to conduct agency affairs in accordance with established management philosophies and policies.

Personnel who make top-level management decisions should be placed within the organization where they can readily keep the police chief executive informed of the status of agency affairs, and enable the police chief executive to influence any decision-making process to the extent deemed necessary.

Every police chief executive should have the authority to replace a member of the management

team who does not perform adequately and who cannot be developed properly.

Commentary

The attention of top management often needs to be focused on numerous critical issues simultaneously. Attention must often be concentrated on one issue over an extensive period of time. Yet, in the interim, if other equally critical matters are left wanting, an unhealthy imbalance occurs. To add to this dilemma, the management expertise and temperament needed to guide one major administrative endeavor successfully often differ from the characteristics necessary to the success of another effort.

As police agencies increase in size, the multifaceted demands upon top management's capabilities to analyze, weigh alternatives, and harmonize dissent increase geometrically. These exacting demands have caused leading management authorities, including police chief executives, to assert that they cannot all be met by one person.

Police chief executives alone do not run healthy police agencies; that is the job of their top management teams. This is not to suggest that police chief executives are simply figureheads without real authority. On the contrary, as the team leader, the police chief executive is the most important member

of the management team. The police chief executive establishes the broad policy that guides the team toward setting and achieving the agency's goals and objectives. The police chief executive carefully selects team members of proven competence and integrity, assigns to each those top management tasks for which the member is best suited, and delegates the authority to manage those tasks.

No team member should function in autonomous isolation. An environment of open communication among all team members must exist. The function of each team member is an integral part of the entire agency and every part must function in harmony for the agency's purpose to be served.

Management experts have drawn an interesting analogy between the relationships of a top-management team and a baseball team. In the latter, the team manager sets the game strategy, and selects and assigns the players. Obviously, the best catcher in the league is behind the plate, not on the mound. The manager may select which player goes to bat, but once there, only the player can swing the bat. If the bat is swung ineptly, the manager has the authority to select another batter the next time around.

Just as many players are developed into better pitchers, catchers, or batters than their manager, successful police chief executives can develop top management team members who may excel in specific areas of administration. The executive retains the ultimate authority to select, coach, and replace team members, however.

The Demands of Top Management

Even in small police agencies, the top administrative positions demand a broad range of aptitudes, skills, and qualifications. The diversity of those demands, the exact number of hours in each day, and the physical limitations of human endurance create a gap between what the agency needs and what one person can do. As agency size and complexity increase, that gap widens.

In a police agency, regardless of size, management attention must be given to crime rates and patterns; personnel matters such as recruitment, training, deployment, promotions, and assignments; budgetary matters; material resources; and community relations, to name a few. These issues demand constant attention.

Peter Drucker, in *Management: Tasks, Responsibilities, Practices*, authoritatively summarizes the demands of these tasks:

Another peculiar characteristic of top-management tasks is that they require a diversity of capabilities, and, above all, of temperaments. They require the capacity to analyze, to think, to weigh alternatives, and to harmonize dissent. But they also require the capacity for quick and decisive

action, for boldness and for intuitive courage. They require being at home with abstract ideas, concepts, calculations, and figures. They also require perception of people, a human awareness, and empathy and altogether a lively interest in people and respect for them. Some tasks demand that a man work by himself, and alone. Others are tasks of representation ceremonial, outside tasks, that require the politician's enjoyment of crowds and protocol: the ability to represent and to make a good impression by saying nothing.¹

The police chief executive is responsible for performances in many arenas including planning, field operations, community involvement, and coordinating with elected officials. Adeptness at performing in all of these theaters is seldom, if ever, found in one person. Wise police chief executives do not try to do it alone, for they are apt to overemphasize those portions of the top-management function with which they are most comfortable. Overemphasis ultimately results in other equally important tasks receiving too little attention, and an imbalance occurs.

Police chief executives of smaller agencies might be tempted to conclude that they alone can handle all the top management tasks. Perhaps, if their agencies are small enough, and if they are extremely able and versatile, they can come close. Such is not the usual occurrence, however. Interviews revealed that many police chief executives follow a career ladder in the police service. As they gain experience and expertise in administering a police agency, they compete for the top positions of larger police agencies. They learn that knowing how to perform management tasks personally is not enough. As the complexity of the agency increases, the need to get things done by others grows. The police chief executive must delegate some of the tasks of top management to others. To overlook development of this ability is to lower the career horizons of the police chief executive.

The failure to recognize that the management demands of a police agency cannot be met effectively by one person can be even more constraining to police chief executives of large agencies. Police chief executives of agencies with 1,000 or more personnel have an average tenure in office of 3.6 years (PCE I #N), but the executive who tries to "do it all alone" stretches those years into a seeming eternity.

Meeting the Demands of Top Management

There is one method most likely to direct proper attention to all management tasks. That method is the assignment of every top-management task specifically to some individual. There should be a top-management work plan that clearly defines who is responsible for each management task, and task ob-

¹ Peter Drucker, *Management: Tasks, Responsibilities, Practices* (New York: Harper & Row, 1974), p. 616.

jectives and priorities should be developed. In other words, top-management work should be performed by the total management team.

Social, legal, and technological changes have posed progressively greater challenges to the police service: The effectiveness of police chief executives has become increasingly dependent upon an adequate number of skilled and effective managers. In this regard, the police service is being affected by modern trends just as private industry is. As *Forbes* magazine put it: "If a company has nothing going for it except one thing—good management—it will make the grade. If it has everything except good management, it will flop."²

Forbes was referring to the management team at or near the top of the organization. The striking difference between a private enterprise and a police agency is that if the former flops, it simply goes out of business. If the latter flops, it stays in business but provides the public inefficient, ineffective police service. The public suffers.

In the context of this discussion, good management puts demands on much more than the top position in a police agency. Rather, it requires a variety of top managers representing a cross section of talent and managerial styles. The police chief executive must develop a balanced assortment of managers within the agency in order to assure that each task is the direct responsibility of a management team member who is suited for it.

In rating the management skills desired in a police chief executive (Figure 2.3), superiors and police chief executives indicated their high regard for developing subordinates into effective teams (PCE II #5, Superior #11). Although this skill has application throughout an agency, it has no greater value than when applied to top management.

In fact, the logical starting point for developing teams is at the top. It is rare indeed for a police chief executive not to have one or more subordinates who can manage operations in the executive's absence. In one agency, that person may be a senior patrol officer or a sergeant. In another, it may be a lieutenant or a captain. In still others, a deputy chief or undersheriff may run the agency in the absence of the agency head. If such responsibility can be entrusted when the executive is away, why can it not be shared when he is present? Management authorities both inside and outside of the police service say that it should be shared.

It is important to the health of a police agency that a top-management team be established, but how it is established is less important. There are some conditions that promote effectiveness in a true man-

agement team, however. Those conditions selected for emphasis in this commentary are: the environment within the organization; the selection of qualified team members; the assignment of tasks; and the total leadership of the top-management team.

Management Team Environment

The environment in which the coordinated management team is formed is important. One police chief executive of a major agency found that a key to establishing such an environment was getting top management together frequently for face-to-face communication. In this particular agency, high-ranking command officers are dispersed over a broad geographical area. Upon taking office, the police chief executive observed that the "brass" traditionally communicated with each other by written memoranda. Seldom did the top personnel talk to one another. This police chief executive began holding regularly scheduled meetings with all the top command officers. Communications are now more open, the views of the top managers are more in harmony, and a true top-management team has evolved.

Police agencies differ by size, composition, complexity, distribution of personnel, and specialty of purpose. Compositions of management teams will vary accordingly. The philosophy of management teams remains constant, however, and a successful team implementation by one agency can often serve as a model for other agencies with varying modes of organization.

The California Highway Patrol, for example, used chapter 1 of its *Manual on Patrol Policy and Doctrine* as one method to foster a hospitable environment for management teams through the publication of written management philosophy. The heart of this philosophy is summarized in the manual section:

Executive Management Commitment. To establish a decision-making philosophy and make it an active part of the management process requires the total commitment of the members of the Executive Management team. This commitment is essential to the movement of decision-making practices toward compatibility with Participative Management at all levels of the Department. The commitment from Executive Management to a participative or shared decision-making process will result in a downward flow of the decision-making philosophy through other management levels of the Department.³

In the California Highway Patrol, the executive management team includes the Commissioner, Deputy Commissioner, and Assistant Commissioners. Another level of management categorized as top

² *Forbes*, "Fiftieth Anniversary Issue, Management," September 1967, p. 51.

³ California Highway Patrol, *Manual on Patrol Policy and Doctrine, Management Philosophy and Organizational Development*, chapter 1, pp. 1-7.

management, includes the executive management team, supervising inspectors, and division commanders. A decisionmaking model has been implemented that provides guidelines for team decisionmaking. Specified types of decisions are made solely by the executive management team. Other decision categories are within the province of the top-management team. Additionally, the model provides for primary decisionmaking authority and responsibilities throughout a hierarchy of management teams that includes the operating management team and supervisory management team.

Selection of Team Members

The police chief executive's selections of top-management team members are crucial decisions. Police chief executives should ensure that each person responsible for making management decisions possesses the highest level of competence and unquestionable integrity. Members should be selected who, through performance, have proved that confidence can be placed in them to conduct agency affairs in accordance with agency philosophies and policies.

This is not to suggest that every team member should be cast from the same mold. The unique characteristics of top-management tasks require qualities and capabilities so diverse that they are seldom found in one person.

The selection process is neither simple nor swift. Peter Drucker has asserted: "Key personnel decisions require a great deal of time; few things are less likely to succeed than hasty personnel decisions."⁴

Such decisions should be the final phase of a larger process that is continuously in motion—the process of management development. If a police chief executive does not inherit an agency that already has a policy of management development, the establishment of such a policy should be given high priority. In interviews, police chief executives persistently affirmed the value of developing a field of qualified candidates from which their successors could be chosen.

Most police chief executives expressed a preference for selecting their top-management team members from within the agency. They were not so committed to this principle, however, as to sacrifice managerial quality willingly for the sake of advancing incumbent agency personnel with unknown or unproved abilities. Those police chief executives who have the latitude to select their immediate subordinates from outside their agencies consider themselves

fortunate. In fact, many of them felt that this prerogative should be extended to every police chief executive. Most police chief executives believed that top-management team candidates first should be sought within the agency, however. In many agencies, all management personnel must ascend to their positions through rigid internal processes. Particularly in those agencies, the health of the organization and the success of the police chief executive are dependent upon ongoing internal management development programs.

To the police chief executive, selection of the top-management team members is as critical as the selection of police chief executives by appointing authorities is. Deliberations for the selection of each member should be predicated upon an analysis of the tasks to be performed and in accordance with established criteria and predetermined minimum qualifications.

Police chief executives would do well to adopt the processes of selection as discussed in the following standards: Standard 1, Preselection Assessment of the Agency; Standard 2, Evaluation Criteria for Selection of Police Chief Executives; and Standard 6, Selection Processes for Nonelected Police Chief Executives.

The police chief executive's authority to select top-management team members should be balanced with the authority to reverse the selection. No selection process is perfect. In spite of the most advanced management development processes and the most thoughtful analysis of tasks and persons prior to making the selection, mistakes can be made. Additionally, job enthusiasm, temperaments, and personalities can change. Lacking scientific, humanistic, or clairvoyant abilities to foresee the future exactly, true performance of any individual cannot be predicted. Therefore, a team member's selection and retention should be based upon the same criteria—performance.

Civil service rules and other protections of job rights notwithstanding, the police chief executive should have the authority to replace the team member who does not perform adequately and who cannot be developed properly.

If the police chief executive may select immediate subordinates from outside the agency, the authority to reverse a selection decision should permit the police chief executive to remove the subordinate. If the police chief executive's selection authority is limited to internal personnel, the authority to reverse a decision should at least permit the police chief executive to reassign any team member to the position from which the team member was selected.

⁴ Peter Drucker, *op. cit.*, p. 616.

Assignment of Management Tasks

Management team members should be placed within the organization where they can readily keep the police chief executive informed of the status of agency affairs, and enable the police chief executive to influence any decisionmaking process to the extent deemed necessary.

The logical assignments for top-management team members in a police agency are those positions immediately subordinate to the police chief executive position in the agency's hierarchy. In fact, they do not need to be identified as team members on the agency's organizational chart. Management through teamwork is a flexible process that can be adapted to any police organization. The important thing is that teamwork be exercised regardless of the titles on an organizational chart. Each top-management task must be clearly assigned to someone who has direct and full responsibility for it. These tasks must be assigned to fit the personalities, qualifications, and temperaments of the team member.

The assignment of top-management tasks to one subordinate will not achieve the management team concept. No subordinate should be so placed within the agency as to constitute a barrier between the police chief executive and other subordinate personnel. The problem occurs when the person in one position, usually entitled assistant chief, is delegated authority over all agency administrative matters subject to countermands only by the police chief executive. Such assignments tend to isolate police chief executives from agency operations, and to place upon one person the burdens of all top-management tasks. The problem is not with the position or title, but with the stricture that occurs in the agency. The assistant that screens everything then becomes the person that really runs the agency. The same problem occurs at lower levels in the agency. Any single assistant to a command officer often becomes a barrier between the command officer and his command. In such cases, the team concept is not at work.

Leading the Top-Management Team

The police chief executive, as leader of the top-management team, must establish open communications with and among all team members. Systematic and continuous communications are vital. Each team member, in order to be effective, should be able to operate with maximum autonomy within his own sphere. Such autonomy must be in the best interests of team effort and of the agency, particularly if each team member makes every effort to keep the leader and other members fully informed.

Delegating high-level administrative authority to top-management team members does not undermine the police chief executive's position. It has the opposite effect. The police chief executive's administrative capacity is strengthened because the agency's "administrative personality" is broadened to encompass the diverse characteristics required by top-management tasks.

Although autocratic rule must give way for a top-management team to be effective, authority to affirm agency policies and executive decisions should be retained by the police chief executive. As Peter Drucker put it:

A top-management team is not a committee. It is a team. A team needs a captain. The team captain is not the "boss"; he is a "leader" . . . But there has to be a team captain. And in times of extreme crises he has to be willing and able—and has to have the legal power—to take over. In time of common peril there has to be unity of command.⁵

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Related Standards

The following standards may be applicable in implementing Standard 10:

9 Assessment by Police Chief Executives

12 Early Identification of Police Agency Problems

Standard 11

Establish and Communicate Objectives and Priorities

Every police chief executive should determine objectives and priorities that will direct the agency and provide guidelines for its employees. Every police chief executive, when establishing agency objectives and priorities, should consider the agency's primary purpose and the needs of the community. Highest priority should be assigned to the objectives that are fundamental to the purpose of the agency.

Every police chief executive should encourage employees at every level of the agency and members of the community to provide input for the establishment of agency objectives. Individuals at all levels of the police agency should recommend, determine, or agree upon unit objectives and priorities that are consistent with agency objectives and priorities. Police chief executives should evaluate the suggestions, establish proposed unit and agency objectives and priorities, and discuss them with their immediate superiors.

Every immediate superior of a police chief executive should review and approve the objectives and priorities determined by the police chief executive.

Every police chief executive should cause approved agency objectives and priorities to be stated clearly in writing and communicated to agency personnel and to the public. Police chief executives periodically should measure the agency's progress toward achieving agency objectives, and should

establish new or revised objectives and priorities, when necessary.

Commentary

Police officers, from the lowest ranking patrolman to the police chief executive, are continually making judgments. They must decide between alternatives: to detain or not detain, to cite or to arrest, to concentrate on so-called victimless crimes or on street crimes, to speak out on proposed legislation or to remain silent. The police are decisionmakers.

Setting objectives is a system of decisionmaking. People within a police agency can make better decisions if there is a unit or agency objective they can rely upon. The objective-setting process causes police chief executives to decide what activities are important and it helps police employees to direct their efforts toward important tasks.

Setting objectives occurs in every police agency—sometimes with no conscious effort to set objectives. The difference between a mediocre and an outstanding police agency may depend upon whether a conscious effort is made to set, measure, and accomplish objectives.

In the police service, every agency strives to respond to calls for service in a reasonable time. That is an objective that is often not consciously estab-

lished as an objective. The word "reasonable" does not give much guidance to agency personnel, however. A "reasonable" time may vary from a few minutes for a robbery call to an hour on a found property call. It would be better to set an objective to respond to emergency calls within 3 minutes and to "routine" calls within 20 minutes. Setting quantified objectives takes a conscious effort.

An objective is nothing more than a desired outcome. It is a target to shoot toward. It should be realistic and achievable. There should be a way to measure the difference between what was accomplished and what should have been accomplished.

Every unit in the police agency should, in addition to being involved in setting the agency's objectives, set its own unit objectives. The patrol division captain may develop an objective for patrol cars to respond to burglary calls within 5 minutes from the time the police are called. The detective division captain may develop an objective to clear 30 percent of reported burglaries. The crime prevention division may work toward addressing three groups a week on the subject of target hardening against burglaries. Coordinated objectives at lower levels in an agency can serve to achieve an agency objective to reduce burglaries by 20 percent in 1 year.

An objective is simply the formal statement of the unit's or agency's purpose and goals. Every unit within the agency has duties and responsibilities that justify the unit's existence. On the basis of their duties and responsibilities, every person within each unit should be able to articulate at least one objective, and probably more than one.

Too many objectives for the unit or for the agency as a whole defeat the purpose of objective setting. If all of the objectives cannot reasonably be met, they should be combined in some way. As a working rule, no position should have more than two to five specific objectives.¹

Once objectives have been established, priorities for those objectives can be set. Setting priorities is not a new concept for agencies that provide emergency services. If two calls for police service are received at approximately the same time and there is only one police unit available, the more serious call is assigned first. Police officers are aware that felonies have a higher priority than misdemeanors, but sometimes the distinction is not so clear between robberies and burglaries, or crime prevention activities and recovery of stolen property.

Police chief executives should not attempt to establish objectives or set priorities alone. They should get input from members of the community, from their

superiors, and from all members of the police agency. But it is the police chief executive, in consultation with his superior, who finally decides what the objectives of the agency will be. After objectives are established, they must be communicated to agency employees and to the public. Finally, they should be measured and evaluated.

Types of Objectives

Years of effort are required to solve some problems confronting police agencies. Other problems lend themselves to rapid solution. Innovative objectives are required to solve long-range problems, just as routine objectives are required for the day-to-day problems.

Routine objectives are the easiest to set. The agency cannot survive unless routine tasks such as responding to radio calls or meeting the payroll are carried out. It is not difficult to define the objectives that are met every day, but it is important that these routine objectives be formally written down and distributed.

Innovative objectives are necessary to make progress. Without innovative objectives, the police would still be housed in dilapidated buildings and record clerks would still be hand-searching files. Police officers who wait 30 seconds instead of 30 minutes to check for wants and warrants can thank innovative people who set long-range objectives and carried them out. Evidentiary fingerprints that have defied identification will soon be able to be identified by computer search of a single latent fingerprint. In this era of technological and social change, the setting of innovative objectives is critically important to the police service.

All objectives, both routine and innovative, should be put in writing as precisely as possible to guide agency employees toward specific accomplishment within a stated time. Some examples of objectives to be accomplished within a specified period are: reducing response time to calls for service by 25 percent; reducing gasoline consumption by 20 percent without reducing the quality of service; reducing auto thefts by 20 percent; reducing injuries to personnel by 5 percent; keeping paper consumption at the present level; and adding five patrol cars to the vehicle fleet. Obviously, some of these objectives are more important than others. By placing them in priority order, agency employees will know which tasks demand most of their time and attention.

Establishing Priorities

Police agencies regardless of their locale, size or other variables share a common purpose: to establish and maintain a peaceful and orderly environment. That general purpose should be translated into a number of specific objectives that facilitate the estab-

¹ Edward C. Schleh, *Management by Results: The Dynamics of Profitable Management* (New York: McGraw-Hill, 1961).

lishment and maintenance of public peace and order through prevention, deterrence, and prosecution of criminal activity.

A chief of a major city police department left no doubt of his broad objectives when he stated, "Crime is why we in the police service are in business; it is the 'bottom line.' Prevention of crime should be the top priority of every police chief executive, and every subordinate should share that priority."

Objectives that facilitate the establishment and maintenance of public peace and order through prevention, deterrence, and prosecution of criminal activity should be stated and arranged in priority order. Police agencies responsible for regulating traffic should assign a high priority to objectives that establish and maintain safe and mobile traffic conditions.

A common problem for many police agencies is that they lack resources to do the job they are expected to do. The lack of resources generally occurs because legislative bodies pass laws and give enforcement responsibilities to the police but do not provide enough resources to do the job. When that happens, police chief executives must determine the priority of the new task, and then, based on that priority and the extensiveness of the task, assign responsibility and personnel to do the job. Whether the new task is to register security and private police, enforce a new law prohibiting the sale of merchandise by sidewalk vendors, or inspect alarms, it dilutes the efforts of the police if adequate funds do not accompany the new responsibility. The process of setting objectives and assigning priorities can help the police chief executive put the new task in proper perspective.

Participation of Agency Personnel

Police chief executives, with considerable success, are capitalizing on the value of viewing many agency matters from the perspectives of all or several ranks of police employees prior to formulating objectives and setting priorities. The value of acquiring, considering, and analyzing varied perspectives is twofold: objectives are based upon extensive information; and known misconceptions may be dispelled in the explanation of the objective.

There is considerable evidence, however, that police chief executives are still underutilizing an enormous resource available to them: the brainpower of their personnel.

It is folly to think that intelligence, perceptiveness, and common sense are direct correlates of status of position. These human attributes exist, in various degrees, in all personnel of every police agency. The wise police chief executive views the agency's entire personnel complement as a reservoir of wisdom that is eager to be tapped.

By soliciting the views of all agency employees, the police chief executive acquires a thorough understanding of the real status of the agency. Personnel perceptions of problems confronting the agency will vary with the number of vantage points from which the problems are viewed; perceptions that are seemingly incompatible, however, may be equally valid. Police chief executives must recognize the validity of the various points of view, and consider them while establishing firm agency positions.

Employee participation in decisionmaking opens communication channels, brings greater support of programs by those personnel involved in implementation, assists in setting realistic objectives, and provides an understanding of priorities and acceptance of formal directives without the kind of resistance usually caused by ignorance and distrust. Because subordinates are affected directly by agency objectives, their participation in setting priorities and objectives should be considered.

To generate creative thinking by all personnel, successful police chief executives must encourage each member of the organization to participate in establishing overall agency objectives and priorities. High productivity depends upon all agency members: they must be able to exchange ideas freely and to feel involved in the decisionmaking group. From the diverse knowledge of agency personnel and their differences in decisionmaking talents, practical and workable solutions often emerge. In interviews conducted for this Report, police chief executives throughout the Nation indicated that many of their best plans were developed by subordinate personnel.

The California Highway Patrol, for example, has a clearly established decisionmaking model in its *Manual on Patrol Policy and Doctrine*. In chapter 1, Management Philosophy and Organizational Development, encouraging personnel throughout the agency to contribute to establishing and achieving agency objectives is supported. The value of individual contributions is emphasized:

Participative team management suggests that all personnel have a major contribution to make to the success of the organization and that individual capabilities will be maximized. It demands recognition that each person in the organization has talent, develops an expertise, has a basic know-how and a quality of leadership, and an ability to contribute to the total effectiveness and quality of the organization. Capitalizing on the talents of all persons in the organization is the key to success.²

Allowing agency personnel to participate should not result in free-rein or laissez-faire management. The police chief executive should maintain final decisionmaking authority. The degree of employee par-

² California Highway Patrol, *Manual on Patrol Policy and Doctrine*, May 19, pp. 1-6.

ticipation in decisionmaking must be limited by practicality. California Highway Patrol managers are reminded that:

The manager, in using the participative management process, neither abdicates his responsibilities nor reduces his authority. The manager must still be responsible for and has the authority to make those decisions necessary for goal attainment.

In many administrative and operational situations, decisions can only be made by the police chief executive or the subordinate in command. In a tactical situation requiring an immediate and coordinated police action, for example, decisions must be made by the officer who is in command of the operation. Some other areas in which utilization of participative input must be constrained are:

- Situations in which firm department policy or procedure is defined or prescribed by law.
- Decisions that must be made quickly (emergency tactics).
- Administrative matters requiring managerial decisions, i.e., investigation and adjudication of personnel complaints, etc.

Community Input to Agency Objectives

A crime-free society depends upon voluntary compliance with the law. The primary responsibility for abiding by the law lies not with the police, but with the people. Because crime is a social phenomenon, crime prevention is the responsibility of every person. People need to be reminded of this responsibility. Every community should adopt the theme that the community and its police are one body and that the police service is that portion of a community committed to full-time community protection. A safe and crime-free society is everyone's concern, however. As that concern diminishes, crime increases.

The Police Chief Executive Committee takes the position that the most cost effective way to stop the rising crime rate in this Nation is to get people involved in crime prevention. The police have become the catalysts for blending the various community elements into a united team of crime preventors. If the police are catalysts, then the police chief executives are the chemists who apply the catalytic ingredients that involve agency personnel and the community they serve in crime prevention.

Clarence M. Kelley, Director of the Federal Bureau of Investigation, told the Nation's police chiefs at a conference of the International Association of Chiefs of Police: "If anyone is capable of energizing people to work against crime and in support of law

enforcement, it is you, using your influence in your communities."³

Police chief executives and superiors indicated in the questionnaire survey that they place a high value on the police chief executive's ability to relate to the community. They were asked to rate the importance to a police chief executive of 14 recognized management skills. On a scale of zero to 10, the police chief executives gave "relating to the community" a value that averaged 8.4 (PCE II #5). This management quality was consistently rated high by respondents in all nine census divisions. Superiors also indicated that this quality is extremely important (Superior #11—Figure 2.3, Standard 2).

Through interviews, it was established that police chief executives of agencies of every size view community involvement in crime prevention as a primary objective. They are instilling within their communities a sense of concern and shared responsibility for its crime problems.

Crime prevention programs are gaining in popularity throughout the Nation. Through lectures, the media, bulletins, and personal contact, people are being informed of prevalent crime problems in their neighborhoods and how to reduce the probability of occurrence. People are being told how to "harden the target" against burglars. Women are being instructed how to avoid being attacked. Businesses are being shown how robberies can be reduced, and office workers taught how to prevent thefts.

Obviously, the other component of this partnership against crime is the police. In larger agencies particularly, history has shown the ease with which the police can drift apart from the people they serve. A strength of small police agencies is their knowledge of and responsiveness to the community they serve.

By meeting personally with the public when possible, and having subordinates do so, police chief executives can determine crime conditions as seen by the people. Community attitudes may then be taken into consideration in formulating objectives. This also lays the vital groundwork for gaining not only the community's acceptance, but its approbation and cooperation.

Opinions and perspectives of community leaders and influencers should be considered. Chamber of Commerce officers, church pastors, newspaper editors, and school principals are only a few community leaders who can provide police chief executives with valuable insight into the community's perceptions of its problems.

Many police chief executives are entering into this partnership with their communities on several fronts. Officers are meeting with people in their homes, churches, businesses, clubs, organizations, and

³ Clarence M. Kelley, Sept. 16, 1975.

schools. The personal impact of crime is being discussed, as are simple, but effective, crime deterrents.

The National Advisory Commission on Criminal Justice Standards and Goals *Community Crime Prevention* report is a definitive volume that outlines methods for promoting citizen participation with the criminal justice system in crime prevention.⁴

Concurrence from Superior

An extremely important participant in the setting of objectives and priorities of a police agency is the police chief executive's superior. In interviews, most superiors agreed that police chief executives should have sufficient latitude to administer the police agencies. They expressed expectations, however, that police chief executives will be cooperative members of the cities' management teams. They rightfully expect to be consulted for their advice and consent on major management issues.

Superiors should not be ignorant of the administrative policies of police agencies. Wise police chief executives keep their superior informed of police activities, decisions, and policies that may come to the superior's attention from other sources or that should come to his attention because of their importance. Close communication between the police chief executive and the superior has the advantage of keeping each individual knowledgeable of the other's objectives and expectations and minimizing surprises. It also permits the establishment of compatible objectives. Accordingly, each should have input into the overall objectives of the municipality and its police agency.

It is incumbent upon police chief executives to assess accurately the communities' police needs and to formulate methods of meeting those needs. The effectiveness of the methods depends, in large measure, upon the support and cooperation of a well-informed superior.

The fact that superiors are involved actively in the activities of their police agencies was affirmed by questionnaire responses. They reported spending, on a national average, 19 percent of their working time on police agency matters. Superiors in the Middle Atlantic region spend as much as 30 percent of their time so involved; those in the Pacific region indicated they spend 12 percent of their time on police agency matters (Superiors #19). Those two regions represent the reported extremes. Certainly a significant portion of this time should be expended wisely on gaining the superior's concurrence with and approbation of the course charted for the police agency by its chief executive.

⁴National Advisory Commission on Criminal Justice Standards and Goals, *Community Crime Prevention* (Washington, D.C.: Government Printing Office, 1973).

Objectives and priorities form the basis of personnel assignments, and personnel is by far the most costly part of a police agency's budget. The agency budget rates high among the severe problems confronting police chief executives (PCE I #5). Also, 51 percent of the superiors reported that "management of the police budget" was a factor that frequently influenced their appraisal of police chief executives (Superior #18). Police chief executives might well heed that viewpoint, as only 35 percent of them thought management of the budget was used frequently as an appraisal factor (PCE I #10).

The importance of the budget in acquiring and utilizing resources necessary for the achievement of objectives certainly underscores the necessity of the police chief executive gaining concurrence with those objectives from the superior.

Budgetary considerations should cause elected police chief executives to obtain concurrences with their objectives and priorities also. Although elected police chief executives, such as most sheriffs, are accountable directly to the public, most of them are dependent upon other elected officials, usually a board of supervisors, for their fiscal resources.

Well-planned and practical objectives that have been established with the concurrence of those who administer the purse strings are far more likely to be funded than those that emerge for the first time during a budget review.

Communicating Priorities and Objectives

The process of establishing agency objectives can open lines of communication. There are many benefits that accrue to those police chief executives who listen willingly and who urge their subordinates to talk freely and honestly. Upward communication reveals to them the degree to which agency policy is accepted. The opportunity for upward communication also encourages employees to contribute valuable ideas for improving agency efficiency.

Standard 12 discusses many methods used by police chief executives to learn of internal problems. Chiefs can use many of the same methods for downward communication within the agency.

Objectives and priorities, once established, should be in writing and disseminated to agency personnel. It is essential that all agency personnel know what the objectives of the agency and the unit are, and the priorities attached to those objectives. Effective teamwork among agency personnel is essential to get everyone pulling together.

Orders, policy statements, and agency manuals familiarize agency personnel with and give them access to agency objectives and priorities. Police chief executives are including in formal communications a comprehensive statement explaining reasons for issu-

ing each directive and defining what it is expected to accomplish. This causes employees to better understand and support agency directives.

The police chief executive or the person assigned to perform the staff work should consult with persons on several levels within the agency hierarchy to obtain input before making a directive final. Several police chief executives who use this method have found that it produces an abundance of good ideas and results in the establishment of sound policies, procedures, and objectives that are readily accepted and easily implemented.

Many agency objectives and priorities should be made public. The public has a right to know what their police agency considers important. Police chief executives should use the forums suggested in Standard 15 to let the public know what the objectives are. The community can participate in various ways to help achieve agency objectives.

Measurement of Objectives

Once an objective is set, there should be some way to keep track of the progress toward its achievement. Every objective should be quantified in some way. Most police agencies do an excellent job in keeping crime, arrest, and traffic statistics. Crime, arrests, stolen property, clearances, and traffic information are quantifiable, and increasing or decreasing rates can be measured. Information on agency progress can be used to measure achievement toward agency objectives. Many agencies do an excellent job in measuring unit progress toward unit objectives in addition to measuring agency progress toward agency objectives.

One large police agency that has adopted an agency objective to reduce selected crimes by 3 percent within a 1-year period, has a management information system that provides crime information for each of 67 team areas in the city. Every group of nine team members knows exactly how it compares with the agency objectives.

Not every agency has a good management information system. The absence of a record or management information system should not prevent the setting of objectives, however. Crude measurements are good enough to start with. After objectives are set, systems can be developed to measure progress. Estimates are sometimes good enough to determine progress.

Measurement also permits reevaluation of objectives. Circumstances may disclose that the original objective was inappropriate for various reasons. The objective may have been too demanding, or not demanding enough. In any event, when unforeseen conditions arise that significantly influence the agency's ability to achieve the original objective, the objective should be modified.

The true test of performance is provided by a formal annual review of achievements against objectives. If the objective has not been met, consideration should be given to whether or not it was set too high and if it was actually attainable. If the objective was appropriately set, an attempt should be made to identify and to correct the mistakes that prevented achievement of the objective. The annual review also should be the first step in the process of establishing the objectives for the coming year.

Although the ultimate test of effectiveness is the degree to which the objective was accomplished, the things done toward reaching the objective should also be measured for effectiveness to determine whether or not they are producing the desired results, and if they are cost-effective.

Opportunities for Improving Productivity in Police Service, published by the National Commission on Productivity and prepared by leading police practitioners from various parts of the country, suggests initial concepts, measurements, and practical ideas for improving productivity of the police service.⁵

The Commission acknowledged that concepts and methods for improving police effectiveness are still in their infancy. Credible measurement of police effects on the crime rate is complicated because of the many other factors that affect the crime rate. Among those factors are the proportion of low-income families in the community, the ratio of youths to total population, the number of unemployed, the population density, and the effectiveness of courts and correctional institutions.

The Commission suggested that some valuable indicators of how effective a police agency is can be found by answering several key questions. Some of those questions are:

- How many policemen in your department perform tasks that could be done cheaper or better by a civilian?
- How much time do police spend on noncrime activities?
- In response to demands for more police protection, do you simply add more patrolmen to the force or do you try to increase police capability?
- What hours of the day are calls for police service heaviest? Is that when most of your policemen are on duty?
- Where are the high crime areas in your city? Is there any change in patterns? Is your force flexible enough to concentrate its men in those areas at peak crime times?
- How long does it take to respond to an emergency call?

⁵ National Commission on Productivity, *Opportunities for Improving Productivity in Police Service* (Washington, D.C.: Government Printing Office, 1973).

- Does your department expect maximum performance from its personnel by decentralizing authority, responsibility, and accountability?
- Does your department assign people according to their abilities and preferences?
- Does your department train personnel for the real problems they will confront?
- What are your department's greatest equipment costs? Is the best use made of existing and available equipment?

In a supplement to *Opportunities for Improving Productivity in Police Services* entitled *Improving Police Productivity, More for Your Law Enforcement Dollar*, the Commission further stated:

Until you have this information, you really have no good basis to judge whether you're getting the best police service for the tax money you are spending. Most police departments have the information. Sometimes it is recorded a different way, but simply putting it in the form described above can suggest some ways of thinking about police operations. Your department ought to have the capability to collect and analyze important information on an ongoing basis, and to develop specific action steps for improvement. It is the responsibility of top management in your local government to assure that the police department has such a capability.⁹

As experience is gained in setting objectives and formulating plans for achievement, police chief executives may find that there truly is a realistic way in which to measure the quality of personnel performance.

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Related Standards

The following standards may be applicable in implementing Standard 11:

- 12 Early Identification of Police Agency Problems
- 13 Lawful, Impartial, and Effective Police Service
- 17 Assessing the Performance of Police Chief Executives

⁹ National Commission on Productivity, *Improving Police Productivity, More for Your Law Enforcement Dollar* (Washington, D.C.: Government Printing Office, 1973), p. 9.

Standard 12

Early Identification of Police Agency Problems

Every police chief executive should establish various means to learn personally of agency problems, recognizing that early identification of problems permits the early application of solutions.

Every police chief executive should use a variety of methods involving agency personnel and persons outside the agency to learn of the current conditions within the agency. When current conditions fail to achieve or fail to progress toward achieving agency expectations, resultant agency problems can be identified. Agency expectations include objectives, priorities, and other formal and informal agency standards.

Every police chief executive should use various methods to determine the status of existing conditions including: formal meetings with high-ranking personnel, meetings with low-ranking personnel, meetings with representative personnel of many or all ranks, informal contacts with officers of all ranks, and an open door policy. Additional methods that have been effective include communicating with the public and monitoring the news. Some of the most effective methods are: review of personnel grievances, review of management reports, review of complaints against agency personnel, and inspections.

Every police chief executive should resolve as quickly as reasonably possible the differences between expectations and existing conditions.

Commentary

The early identification of internal problems is one of the hallmarks of successful police operations. No police agency, regardless of its size or scope of operations, can function effectively if problem areas are left unattended. Without methods of swift detection, problems can grow to such proportions that by the time they become evident to persons outside the agency, serious damage has been done to the agency, and the position of the police chief executive has been placed in jeopardy. Administrators who do not solve small problems as they arise must spend their time solving the big problems that result.

Police chief executives and their subordinates vary in their ability to identify and solve problems effectively. Some chiefs are able to get quickly to the heart of a problem and apply effective solutions. Others recognize critical problems but are unable to solve them. Still others may not recognize even the most serious problems.

In order to solve a problem effectively, one must first recognize that a problem is developing or does exist. Problem identification requires an awareness of existing conditions. Objectives and priorities, as agency expectations, are discussed in Standard 11. Whenever prevailing conditions fail to meet or fail to progress toward achieving agency expectations, a problem exists.

The seriousness of identified problems may depend on how far apart actual conditions are from agency expectations, as well as on the impact these problems may have on agency objectives. Problems that seem serious to a police chief may not seem serious to the city manager. The difference may exist because the expectations of the city manager are at variance with those of the police chief.

Police chief executives have overall responsibility for all aspects of police agency operation. In fulfilling that responsibility, they need to examine methods critically that will help them acquire information to learn of factual conditions within the agency. Learning of conditions would permit them to apply measurement techniques in testing the possible gap between agency objectives and the real world.

Existing Problems

As a prelude to the identification of internal problems, research studies were conducted to identify the severity of existing problems confronting police chief executives. More than 1,600 police chiefs, sheriffs, and heads of State police agencies indicated the severity of problems existing in their region. Twenty problems that confront police chief executives were rated on a scale of zero to 10, with 10 being the severest possible rating (PCE I #5). Figure 12.1 illustrates, in descending order, the average of the responses from police chief executives throughout the Nation.

According to summarized response data, the most serious problems confronting police chief executives are presented by criminal justice system processes. Processing adults by the courts and processing juveniles by the courts were rated as the two most serious of the 20 problems listed. Administration of probation and correction systems received the fourth and fifth highest ratings respectively, as sources of severe problems. Problems with the prosecutor's offices received the 10th highest rating and generally were considered by police chief executives to be not serious and sufficiently controlled.

The summarized data revealed that in seven of the nine census divisions, processing of adults by the courts was the most severe problem. In the two remaining divisions, processing juveniles by the courts and administration of probation received the most severe ratings.

In every census division of the Nation, criminal justice problems were rated serious problems. At the other extreme, corruption problems were rated not serious problems. An awareness of the problems prevalent in police agencies throughout the country may assist police chief executives in assessing their own agencies' problems.

Constant Vigilance Against Corruption

The seemingly light concern for corruption was a major point for clarification in the subsequent interviews of police chief executives.

Although most people in public service are honest and dedicated, official corruption does exist. Public officials at all levels have been known to sacrifice or sell all or part of their judgment in return for personal gain.

In interviews, police chief executives indicated that corruption inside police agencies was rated low in the severity of problems because police agencies give constant attention to its detection and prevention. Many agencies have organized special units of select personnel to investigate complaints and to discover evidence of corruption. The problem of corruption is neither routine nor easily controlled. The specter of corruption is so alarming that in spite of the fact that police chief executives indicated on the survey that it was not a serious problem, they advocate concentrated and continuous diligence against it.

Additionally, police chief executives indicated that a collateral purpose of every problem detection method should be to detect signs of the abuse of police discretion that can lead to corruption.

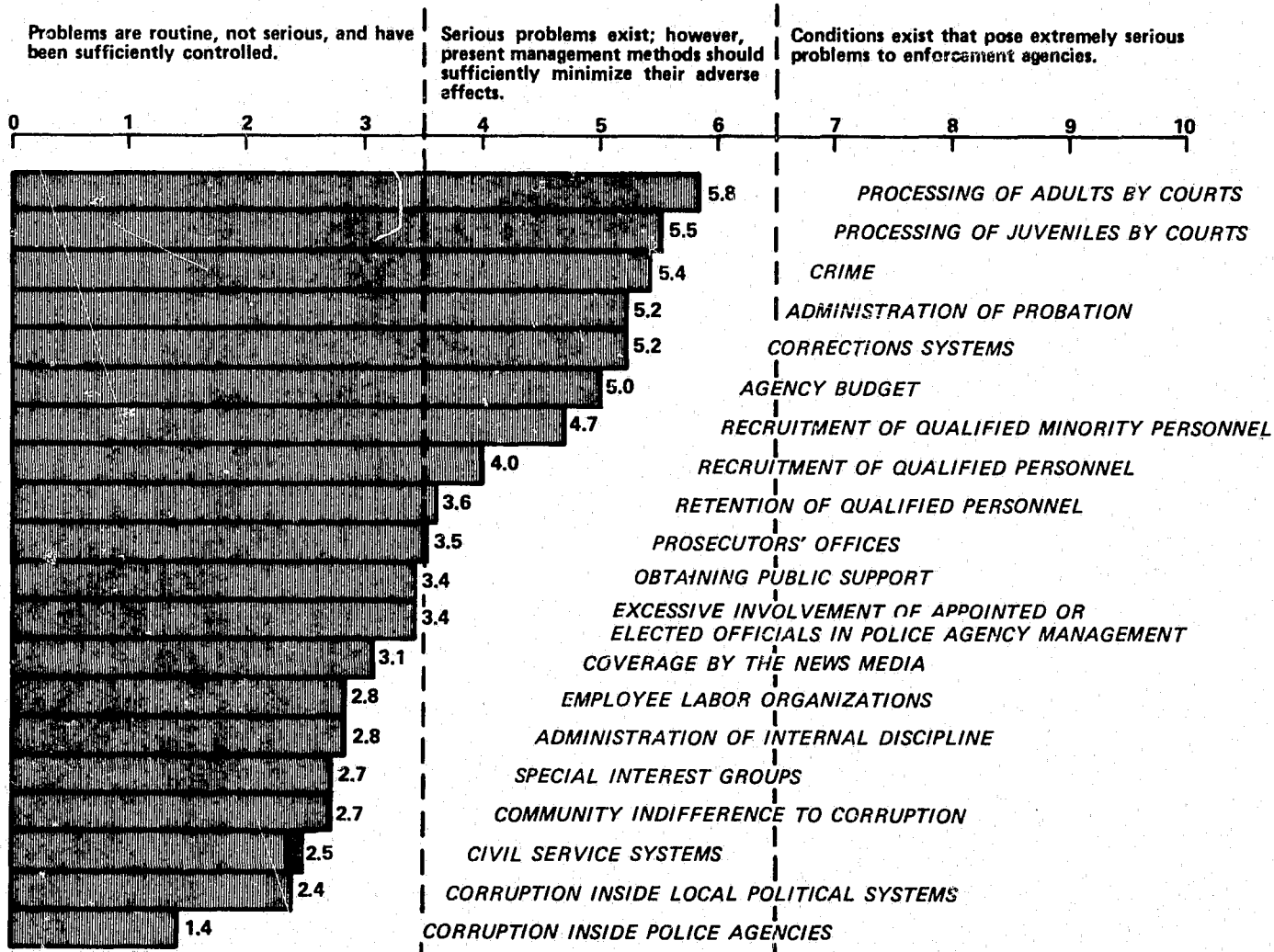
This attitude of police chief executives is supported by their responses to a question about conditions that might jeopardize their positions. In every census division, in every type of police agency, and in every size of police agency except those with fewer than 15 personnel, the majority of police chief executives indicated that if misconduct or corruption of agency personnel existed, it would be a very serious condition that would jeopardize their positions (PCE I #8).

The threat of corruption was recognized by the National Advisory Commission on Criminal Justice Standards and Goals, which considered official corruption to be one of the most damaging forms of criminal activity in society. The Commission, in its *Police* report, recommended that the Law Enforcement Assistance Administration commission a national study of conditions that have helped to eliminate or reduce corruption in police agencies (Recommendation 19.1). The value of studying success models was well supported:

The conditions that support police corruption are many times peculiar to the involved city and police agency. Community mores, the quality of police administrators, and political environment are some of these conditions. But while the specific steps that led to the reduction or elimination of police corruption in one city might not achieve the same results in another, certainly those steps are guideposts to all jurisdictions seeking to solve this problem. A study of the

FIGURE 12.1

SEVERITY OF PROBLEMS CONFRONTING POLICE CHIEF EXECUTIVES



Police chief executives were asked to rate the severity of problems confronting them on a scale of zero to 10. Problems associated with the criminal justice system and crime received the highest percentages of positive responses.

many police agencies that have rid themselves of corruption should provide guideposts for other agencies to follow.¹

Since publication of the *Police* report, several national institutes on corruption have been conducted. These institutes have revealed this problem as being a "cancer" of the police service. If not prevented or detected in its earliest stages, it is fatal to the effectiveness and credibility of law enforcement.

The Police Chief Executive Committee takes the position that when corruption exists, it is the most corrosive and destructive problem of all. The work of honest and dedicated police officers in this Nation is being impaired by the few who use their official positions for personal gain. Police chief executives should be constantly vigilant against all forms of corruption in government.

Concepts and Methods

There are many methods used by executives to acquire information and to determine the actual condition of an agency. Police chief executives were asked their opinion of the value of 16 methods used to learn personally of internal problems (Figure 12.2).

According to the summarized data, there was a wide spread of opinions, with a range of 72 percent, in the responses of those police chief executives who think the various methods are good or very good (PCE II #15). That spread effectively discriminates between those methods that are considered to be valuable by police chief executives and those methods that are deemed to be poor or very poor.

It is very clear that police chief executives have no one sure way to learn personally of actual conditions within an agency. What is a successful practice in one situation may be unsuccessful in another. A "one best way" philosophy can generate a preoccupation with outdated procedures that create problems in their own right. Police chief executives should experiment with a variety of methods to acquire information, and should develop those that work best.

A comparison of responses by police chief executives of the largest agencies (1,000 or more personnel) and police chief executives of the smallest agencies (1 to 14 personnel) revealed a general consistency between the two groups in the values attributed to most of the listed methods of learning of internal problems (Figure 12.3). The police chief executives of the largest agencies place higher values on all the methods than did their small agency counterparts, with the exceptions of an open door policy,

formal meetings with low-ranking personnel and formal meetings with personnel of all ranks.

The differences between the two groups in their evaluation of the methods as being good or very good exceeded 30 percentage points for only three methods. Eighty-seven percent of the large agency chiefs valued complaints against agency personnel as good or very good, compared to 51 percent of the small agency chiefs. The grapevine was valued as good or very good by 68 percent of the major chiefs and 29 percent of the small agency chiefs. The greatest difference occurred in the evaluations of monitoring activities of employee/labor organizations: 79 percent of the large agency chiefs valued it as a good or very good method compared with 34 percent of the small agency chiefs.

Essentially, each method is a form of communication. The police chief executive is the key person in building and maintaining effective organizational communications as he interacts with subordinates, peers, superiors, and the public. To succeed in the task of opening communication channels, the police chief executive must communicate in many ways. Thus, a discussion of early identification of internal problems must include a variety of communication methods, and must consider their value to the police chief executive.

A discussion of the 16 methods that were rated by police chief executives constitutes the remainder of this commentary. They are grouped into four major sections. The first section describes three types of meetings that adhere to the recognized official structure of an agency. The second section deals with five informal methods of identifying internal problems. The third section focuses on three methods of involving the public in identifying internal problems. The last section looks at five methods of organizational control, with emphasis placed on their value in detecting and resolving problems.

Formal Meetings

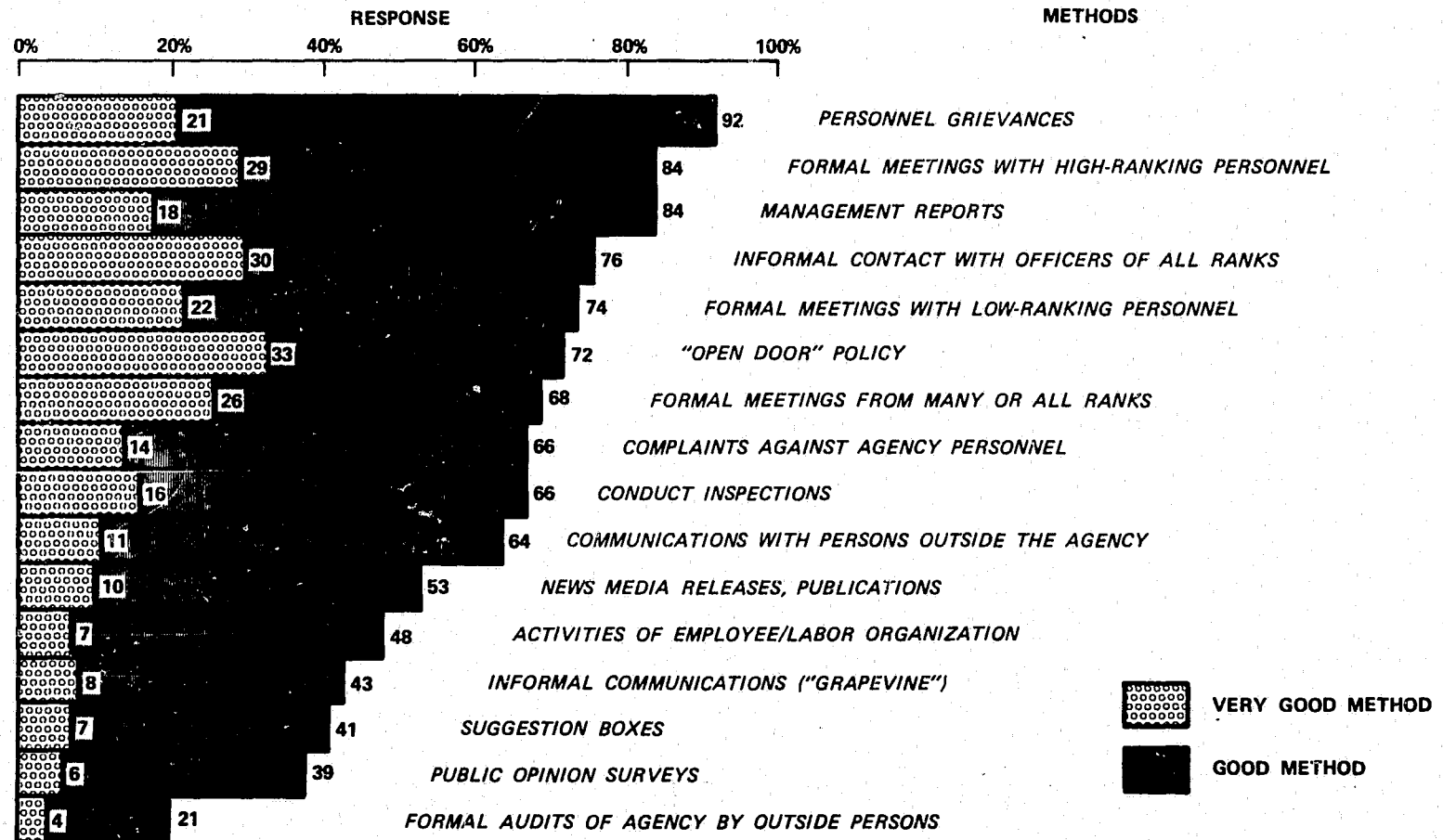
Police chief executives placed high values upon various types of meetings with agency personnel as a means of identifying problems. Eighty-four percent of the police chief executives indicated that formal meetings with high-ranking personnel are a good or very good method to learn of problems. Meetings of this type are the most traditional and tested forms of official group communication. Seventy-four percent of the chiefs believe that formal meetings with low-ranking personnel are good or very good methods, and 68 percent believe that vertical staff meetings are good or very good sources of information (PCE II #15, see Figure 12.2).

Formal Meetings With High-Ranking Personnel. Formal meetings with high-ranking personnel are

¹ National Advisory Commission on Criminal Standards and Goals, *Police* (Washington, D.C.: Government Printing Office, 1973), p. 495.

FIGURE 12.2

METHODS USED BY POLICE CHIEF EXECUTIVES TO LEARN OF INTERNAL AGENCY PROBLEMS

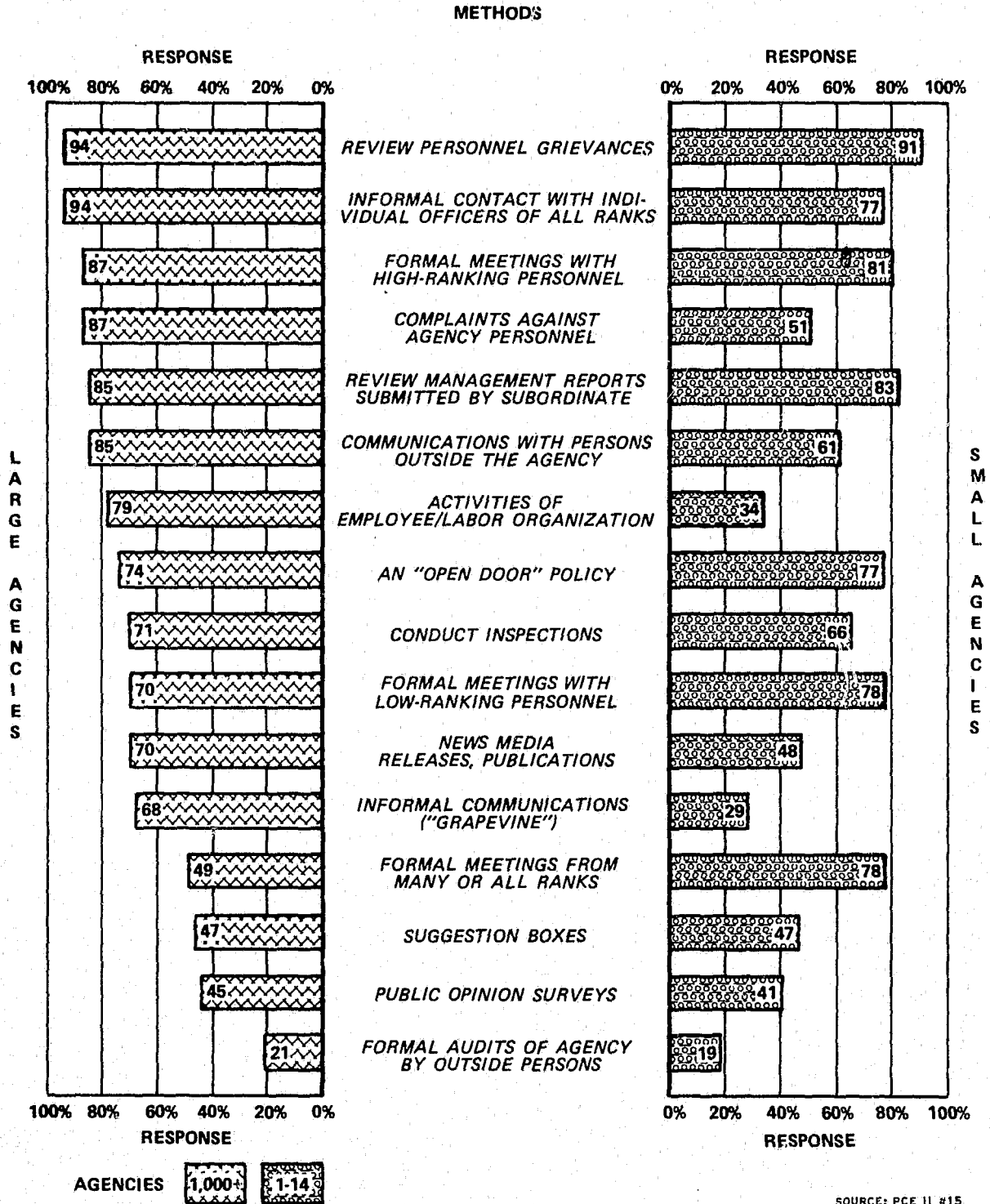


Police chief executives rated the importance of 16 methods that may be used to learn of internal agency problems. Their responses indicated that many of the methods are frequently utilized, but that the most popular method to learn of internal problems is through review of personnel grievances.

FIGURE 12.3

METHODS USED BY POLICE CHIEF EXECUTIVES TO LEARN OF INTERNAL AGENCY PROBLEMS

COMPARISON OF METHODS USED IN LARGE AND SMALL AGENCIES



recognized by 84 percent of the police chief executives as a good or very good method to identify internal problems (PCE II #15). Some police chief executives regularly hold weekly meetings with their top staff, some meet at a set time every working day, and others call a meeting whenever there is a need to meet.

The size of the agency and its mode of organization will influence the decision about who should attend. Formal meetings of high-ranking personnel should include the immediate subordinates to the police chief executive.

Formal meetings usually are intended to exchange information, not just to acquire it. Police chief executives who hold formal meetings with high-ranking personnel solely to tell them what to do, rather than to acquire information from them, will not benefit fully from these meetings.

Formal Meetings With Low-Ranking Personnel. Seventy-four percent of the police chief executives agreed that formal meetings with low-ranking personnel are a good or very good method to identify internal problems (PCE II #15). Well-publicized experiments have shown that unintentional but hazardous distortions of information occur when it is passed orally between the originator and the intended recipient through a number of intermediaries. Police chief executives have indicated that they recognize that this distortion may occur when the upward flow of information through the chain of command is relied on exclusively.

According to one chief of police of a major department, information flowing either way cannot penetrate more than two levels within the hierarchy. For example, he learned in one session, composed of police officers from various patrol assignments, that they had received information on a recently established department position that differed significantly from the information he had intended to disseminate through the chain of command. The chief also learned from a similar group that symptoms of problems were sometimes being reported to him through other channels as causes. Through these types of meetings, he discovered an additional means of detecting problems promptly, and of distinguishing between problem causes and symptoms. The results of treating causes are far more rewarding than the results of treating symptoms.

Of the 16 methods evaluated by police chief executives, summarized data revealed that formal meetings with high-ranking personnel received the second highest valuation; formal meetings with low-ranking personnel were valued fifth; and formal meetings with many or all ranks were valued seventh (PCE II #15).

Regardless of agency size, the police chief executive can hold formal meetings with low-ranking per-

sonnel in a variety of ways. In smaller agencies, the rollcall or assembly period can be utilized. In larger agencies, meetings may be scheduled in advance, with lower ranking officers from throughout the agency assigned to attend while on duty. Groups should be small enough to permit a conversational type of information exchange. Some police chiefs prefer groups of five to 10, which permit a good exchange. In larger agencies, groups of 20 to 25 might be preferred.

Police chief executives should respond to the input received during these meetings by clearing up obvious misunderstandings immediately. They should cause proper action to be taken on problems brought to their attention that cannot be resolved during the meeting. A word of caution is in order, however. Some chiefs, without consulting their command officers, have committed themselves to take a course of action to rectify a problem, and later have had to back down when the facts were gathered. For this reason, some high-ranking officers do not like their chief to meet with subordinate personnel when they are not present. Commitments to take specific action should be withheld until sufficient facts are known.

Once action is taken as a result of information received from subordinates, those employees should be made aware that their information or suggestion was acted upon.

Formal Meetings With Many or All Ranks. Meeting with subordinate personnel of many or all ranks, sometimes called a vertical staff meeting, can help the police chief executive in acquiring information about current conditions. Sixty-eight percent of police chief executives consider formal meetings with many or all ranks as a good or very good method for identifying internal problems within an agency (PCE II #15). In interviews, police chief executives affirmed that this method can be very effective.

The basic concept of the vertical staff meeting is that the police chief executive meets with employees of various ranks within a segment of the police agency to exchange information.² Police officers, sergeants, and lieutenants, meeting together with their chief, can cut through the sometimes burdensome chain of command to communicate effectively. Lieutenants, captains, and deputy chiefs meeting with the chief or sheriff in larger agencies can provide an exchange that might not otherwise take place.

Police chief executives can utilize a type of vertical staff meeting when they meet with employees who have grievances and include the employees' superiors in the meetings. Formal meetings with personnel of several ranks present can be used for a specific pur-

² Edward M. Davis, "Team Policing," *The Police Yearbook*, 1975 (Gaithersburg, Md.: International Association of Chiefs of Police, 1975), pp. 190-91.

pose or for the general purpose of information exchange.

Informal Methods

Informal and personal communications are frequently a necessary process for effective agency functioning. Police chief executives realize that it is futile to assume that formal channels will provide them with all of the necessary information for identifying internal problems.

Two of the methods in this category—informal contact with individual officers of all ranks and an open door policy—were seen as good or very good methods to learn of internal problems by 76 percent and 72 percent of the police chief executives (PCE II #15). It was determined during interviews that police chief executives from all sizes of agencies use these methods consistently. Police chief executives of smaller agencies were apt to use them more extensively, however.

Forty-eight percent of the police chief executives believed that monitoring activities of employee/labor organizations is a good or very good source of information; 43 percent believed that monitoring the informal communications (grapevine) system is a good or very good method; and 41 percent indicated that maintaining suggestion boxes is a good or very good method to learn of internal problems.

Police chief executives of larger agencies expressed considerably more interest in the activities of employee organizations and the grapevine than did their smaller agency counterparts. Few police chief executives of agencies of any size supported the use of suggestion boxes.

Informal Contact With Individual Officers of All Ranks. One of the keys to a successful two-way exchange of information within a police agency is the establishment of informal contacts with individual officers of all ranks. Seventy-six percent of the police chief executives indicated that this is a good or very good method to learn personally of internal problems (PCE II #15). Interviews showed that a frequently used and effective method of acquiring internal information is for the police chief executive to initiate casual conversations with subordinates, through a variety of informal forums.

Police chief executives who establish informal contact with individual officers of all ranks do so for a variety of reasons. During the interviews, they expressed a respect for, and an interest in, their personnel. They like to be seen by their subordinates as persons with a wide range of human interests who want to know more about their subordinates than just their names, ranks, and serial numbers.

Police chief executives expressed no difficulty in maintaining the respect of their personnel and control

of their agencies because of these informal relationships. To the contrary, some police chief executives, who were lateral entrants, reported difficulty in gaining the support and cooperation of their personnel until they did display their "human side." One police chief executive said:

My people know that I am a fair man. I can talk about fishing with a policeman in the morning, appropriately discipline him in the afternoon, and talk about hunting the next day. The point is, I am not totally a symbol of threatening authority. My people know that I will do my job and demand that they do theirs, yet, I am also a person they can talk to. This understanding makes it much easier for all of us to work as a team. This attitude opens an added channel of communication through which my people tell me things they think I want to know as well as things they want me to know. This enables me to be a much more effective chief.

Police chief executives of smaller agencies are able to gain a personal knowledge of each member of the agency. On a daily basis, they have opportunities to talk informally with most of their personnel. As agencies grow larger, it eventually becomes physically impossible for a police chief executive to be acquainted with all subordinates personally.

Police chief executives from larger agencies also find it profitable to take advantage of every opportunity for informal talks, however. A chief of an agency so large that he is seldom exposed to his field personnel stated that for most of his daily transportation needs he has any available patrol officer transport him. During a given week, he will spend a few minutes in a patrol car with several different officers. He has done this so much that the officers now talk to him openly, but respectfully, as if he were a senior partner. He has learned a great deal about problems that detract from an officer's efficiency and that are sometimes difficult for a police chief executive to learn about or appreciate when received secondhand.

Soon after taking office, this same police chief learned from riding in patrol cars that the condition of his vehicle fleet was very poor. He was able to take action immediately to restore the fleet to good order. He also learned that patrol officers thought certain middle managers were incompetent. He was able to deal with those problems to the satisfaction of everyone.

Many police chief executives, from all types and sizes of agencies, are identifying and dealing with problems that are destructive to morale and efficiency by making informal contacts with officers of all ranks.

Open Door Policy. Maintaining an open door policy was recognized by 72 percent of the police chief executives as a good or very good method for learning of internal problems within an agency (PCE II #15). The open door policy was rated as a very good method by one-third of all police chief executives.

tives surveyed. None of the other methods received a higher percentage of "very good" responses.

Police chief executives reported that an open door policy keeps them from becoming isolated. With this policy, lower level personnel know they can discuss important matters when other means have failed. Middle and higher level personnel know that unresolved problems can be brought to the police chief executive's attention. By maintaining an open door policy, the police chief executive, as the final authority within an agency, can act as a safety valve for relieving frustrations caused by subordinates' real or imagined problems. Employees need someone who listens and cares about them and their problems. Police chief executives realize that allowing them to express themselves is a useful device.

In smaller agencies, the doors of many police chief executives' offices are always open. Some even give their home telephone numbers to all of their officers. As agencies grow, limitations on the open door policy increase because the police chief executive's time for informal discussions is limited. Despite their inability to devote much time to employees who wish to see them, as many heads of large agencies support the open door policy as do heads of small agencies. Some busy chiefs regularly schedule periods to hear employee problems and suggestions. One police chief executive believes strongly in an open door policy, but insists that unless it is an extremely serious or urgent matter, the officer must first discuss the problem with his immediate supervisor and commanding officer. If those superiors cannot resolve the problem satisfactorily, the officer can then bring it to the chief.

Activities of Employee/Labor Organization. Employees are by far the most costly resource of any police agency. Their effective performance is essential to the effectiveness of the organization. Police chief executives should create an atmosphere that encourages effective performance by police employees.

To maximize employee effectiveness, police chief executives should learn about and understand employee attitudes. If employees are troubled, they become less effective. To learn about employee attitudes, police chief executives should communicate freely with agency personnel.

There are many things police chief executives can do to alleviate employee concerns. An internal grievance procedure that allows employees' complaints to be resolved fairly requires the active support of a police chief executive. Employee participation in decisionmaking requires compatibility between the police command structure and first-line employees. When police chief executives actively support these and other procedures that show a concern for police

employees, it lessens employee reliance upon employee organizations.

Although it was rated sixth highest in overall value according to the summarized data, this method has strong support from 33 percent of the more than 1,600 police chief executives surveyed.

Police employee organizations exist throughout the police service. Police agency employees who have no police employee organization are organizing themselves or are becoming organized by unions. Police chief executives should recognize their existence and work with them in striving for greater professionalism.

Forty-eight percent of police chief executives indicated that keeping abreast of activities of employee/labor organizations is a good or very good method to learn of internal problems (PCE II #15). A greater percentage of chiefs of large police agencies than of chiefs of small agencies believe that it is a good or very good way to learn of internal problems. Seventy-nine percent of police chief executives with 1,000 personnel or more rated it good or very good, while only 34 percent of chiefs and sheriffs with fewer than 15 personnel said it was a good or very good method.

A close working relationship with employee organizations will bring far greater benefits than just learning of internal problems. Where the police chief executive or his representative has a day-to-day working relationship with the police employee organization, police attitudes can be determined and police effectiveness can be increased. Also, the police agency will be less likely to be fractionalized at the annual bargaining table.

Informal Communications ("Grapevine"). Within every police agency consisting of more than one person there is a degree of personal and informal interaction. Ordinarily, when people work in close proximity to one another, the majority of their interactions are conducted through casual conversations on topics of mutual interest. Those who are engaged in similar occupations have built-in areas of mutual interest. Work, work conditions, and people who affect that work are usually subjects of conversation.

As police agencies increase in size, the number of personal interactions and conversations increases geometrically. Items of interest learned in one conversation are likely to be related again and again in subsequent communications. This process is intensified by use of the telephone. Thus an informal communications network called the "grapevine" is created.

The grapevine is used for many types of communications regardless of the police chief executive's interest in it. Information may travel faster through

it than through any formal internal communications system yet devised. The grapevine can be used to advantage by police chief executives who keep themselves attuned to it. The grapevine can be positive or it can be negative, influencing the agency with false rumors and misinformation.

In interviews, several police chief executives stated that they consider it vital to the health of their agencies to know what is being communicated through the grapevine. It enables them to counter false rumors with factual information and to use the informal system to disseminate information of the type not ordinarily transmitted through formal channels.

Survey data indicate that a greater percentage of police chief executives of larger agencies than of smaller agencies believe that monitoring the grapevine is a good or very good method of learning about internal problems. From agencies with 1,000 or more personnel, 68 percent of the police chief executives thought this method of detecting problems was good or very good. Only 29 percent of the police chief executives of agencies with fewer than 15 personnel thought it was a good or very good method, however (PCE II #15). Regionally, the Pacific States gave this method the greatest value, with 56 percent of the police chief executives indicating it was good or very good; police chief executives in the West North Central States valued it the least, with 36 percent indicating good or very good.

Knowing the nature and credibility of information that flows through the grapevine does not imply sinister or covert eavesdropping by police chief executives. To the contrary, proponents say that police chief executives should openly and positively participate in the informal communication systems. One police chief executive described his participation in the system by stating:

I get much of my information about what's going on in the department from my aides who engage in conversation with officers throughout the agency. They know that the aide will bring information to me. Often times my men will see, I aide out to make sure the information does get to me, and I will sometimes use the same method to send a reply to officers who send me a message.

Used wisely, the grapevine can indeed be a valuable source of identification of internal problems.

Suggestion Boxes. Suggestion boxes have been utilized for many years by organizations as a means of obtaining anonymous input regarding problems. Sometimes members of an agency will bring a problem to the attention of management only if they can be assured of the anonymity that the suggestion box provides. Because information may be submitted without identification, however, suggestion boxes are quite often the receptacles of gum wrappers, caustic

comments, and cryptic notes about the suggestion box itself. Often, the person making a valuable suggestion cannot be given proper credit and recognition when the suggestion is accepted. Without positive feedback to the employees, suggestion boxes fall into disuse. For these reasons, most organizations have replaced the suggestion box with more personal means of communication such as the vertical staff meeting. Only 7 percent of the police chief executives thought that this was a very good method of identifying problems, although 34 percent thought that it was a good method (PCE II #15).

Public Involvement

Three methods for involving the public in identifying agency problems were included in the survey instruments. Sixty-three percent of police chief executives believed that communications with persons outside the agency was a good or very good problem identification method (PCE II #15); a greater percentage of heads of State agencies than of any other agencies indicated that this was a good or very good method.

Fifty-three percent of police chief executives indicated that monitoring news media releases and publications was a good or very good method, with a greater percentage of police chief executives of municipal agencies with 1,000 or more personnel than of heads of agencies of other sizes indicating this was a good or very good method.

In comparison to the opinions about other problem identification methods, few police chief executives felt that public opinion surveys were good or very good methods. A greater percentage of chiefs of the largest municipal agencies than of heads of other size agencies thought that this was a good or very good problem identification method.

Comparison of the summarized data consisting of good and very good responses for the 16 listed methods of identifying agency problems reveals that communications with persons outside the agency received the 10th highest valuation; monitoring news media releases and publications received the 11th highest; and public opinion surveys received the lowest valuation with only 39 percent of the police chief executives indicating it was a good or very good method.

Communications With Persons Outside the Agency. The identification and resolution of many internal agency problems are enhanced by maintaining close communications with persons outside the agency. This was rated as a good or very good method by 64 percent of the police chief executives who participated in the study. Eighty-four percent of the heads of State police agencies rated it as good or very good (PCE II #15).

The active interest and participation of persons outside the agency can reveal many problems that normally might not come to police chief executives' attention through agency sources.

Police chief executives reported a variety of ways to obtain community opinions and suggestions regarding their agencies. In several smaller agencies, police chief executives personally receive citizen inquiries, answer outside telephone calls, and accept complaints. Police chief executives who can devote the time to it learn much from their citizens about how their policies and procedures affect people in the community.

One police chief of a major city looked forward to his regular visit to the barber shop that was patronized by many of his subordinates. In the casual conversations that traditionally accompany haircuts, the chief obtained valuable information about his department from the barber and agency employees. Such information seldom reached him through official channels.

Neighborhood meetings often provide community suggestions and attitudes, and the police chief executive should attend some of these meetings to learn personally of community attitudes. When the chief cannot personally attend such meetings, he should be advised of their outcome. In some jurisdictions, interested citizen groups have become valuable in advising the police chief executive on the formulation of policies and the effect of these policies upon the community. Many other values accrued by generating community support for the local police agency are discussed in Standard 11.

Members of other criminal justice agencies can provide valuable assistance in identifying problems within a police agency. Personnel from the district attorney's and other public prosecutors' offices often are acutely aware of the quality of investigations and degree of preparation of cases by officers who seek criminal complaints. Judges view the courtroom demeanor of officers almost daily.

Criminal justice officials should be encouraged to report deviations from agency policies and procedures by agency personnel immediately. Inadequacies in reports, promptness, case preparation, and testimony can be severe problems in themselves, and may indicate more serious problems. They are also the types of problems that are apt to emerge in the presence of other criminal justice officials before they are detected by managers within the police agency. The quicker they come to the attention of the police chief executive, the sooner they can be corrected.

One police chief of a large agency found the assistance of trial judges to be extremely valuable in identifying and rectifying a problem regarding the demeanor of officers while attending court.

Whatever means are adopted to communicate with persons outside the agency, police chief executives should recognize the potential of this method to identify internal problems that normally would not become evident through intra-agency communications.

News Media Releases and Publications. The influence of the media on public information and knowledge about events is tremendous. Through television, radio, and newspapers, the public learns what is conveyed by the press. The police can also learn from the press. More than half of the police chief executives agreed that monitoring newspaper, television, and radio station reports about the police agency was a good or very good way to identify internal problems. Seventy-eight percent of police chief executives of agencies with more than 1,000 employees considered this method to be good or very good, but only 48 percent of the chiefs and sheriffs of agencies with fewer than 15 personnel thought that it was a good or very good method (PCE II #15).

Incidents reported in the press that are harmful to the agency should always be investigated, especially if the facts are not already known. Many acts of unacceptable police behavior have come to the attention of the police chief executive and the public through the news media. Whether the incident is a letter to the editor, an item in television or radio news, or a headline feature, it brings public attention to police action or lack of action. If the action or inaction of the police falls short of agency expectations, an existing problem is identified.

Public Opinion Surveys. Public opinion surveys can offer the police chief executive a means for receiving independent information about an agency that would normally not become evident from internal information sources. This source of information is seldom used by the police, however.

Police chief executives of very small police agencies may not need public opinion surveys. Police personnel in a small jurisdiction are close to the people they serve. Public opinion surveys may be helpful in larger jurisdictions, however.

Despite the potential benefits to large agencies of public opinion surveys, the same percentage of large agency heads and of smaller agency heads indicated that surveys were a good method to identify internal problems. Thirty-nine percent of all police chief executives indicated that this was a good or very good concept, and there were no significant differences among the heads of different size agencies. A significant variation was found in the opinions of heads of agencies with 1,000 personnel and more, however. Only 21 percent of heads of large State agencies supported the use of public opinion surveys, although 54 percent of large municipal agency chiefs consider it a good method.

Control

Various forms of maintaining administrative control over agency functions also have utility in identifying and resolving agency problems. Five administrative controls were included in the survey instrument. Ninety-two percent of police chief executives considered review of personnel grievances a good or very good method for identifying problems. No other method received as high a percentage of positive responses. Eighty-four percent indicated that a good management report system was a good or very good method; 66 percent rated monitoring complaints against personnel and conducting inspections good or very good; and formal agency audits by outside persons were rated good or very good by only 21 percent of the police chief executives. Outside audits received the lowest percentage of positive responses of all the 16 factors; in fact, 53 percent of the police chief executives rated the method poor or very poor (PCE II #15).

Personnel Grievances. The National Advisory Commission on Criminal Justice Standards and Goals, in its *Police* report, suggested:

A grievance system may be viewed as a tool for maintaining or increasing employee morale and as another channel of internal communication. Through an effective grievance system the chief executive may receive valuable feedback which can be used to pinpoint organizational problems.³

This position is supported by the expressed opinions of police chief executives. Ninety-two percent of them rated the review of personnel grievances as a good or very good method of identifying internal problems (PCE II #15).

All police chief executives should establish methods of resolving grievances promptly, and of keeping in touch with the feelings and attitudes of subordinates. The early detection of dissension before it grows to seriously disruptive proportions is another value. Additionally, a sincere policy of resolving grievances fairly will increase greatly an employee's confidence that the police chief executive is sensitive to the needs of all employees throughout the organization. In many instances, the grievance of one employee is the grievance of a group of employees. Therefore, giving prompt attention to one grievance can solve many problems.

In smaller agencies, a policy that provides regularly scheduled periods for the police chief executive to hear employee grievances may be feasible and effective. Representatives may be elected from subdivisions of the department to present grievances to the police chief executive at regularly scheduled conferences. In larger agencies, the police chief executive

may establish procedures for the review of grievances by management personnel who have sufficient authority to resolve them. Even in the largest agencies, however, some grievances will have to be resolved by the police chief executive. Chiefs of large police agencies should review periodically a random sample or summary of grievances that are not ordinarily brought to their attention.

Regardless of how a grievance system is patterned, it should also function as a problem detection device. Whether it is informal and conducted on a face-to-face basis as in many small agencies, or formal, using detailed forms and rigid time limits for progression upward through several levels as in some large agencies, its importance cannot be overemphasized.

Management Reports. Police chief executives recognize that provisions for written intradepartmental communications are very important in identifying internal problems within an agency. Eighty-four percent of the police chief executives rated the review of management reports as a good or very good method of identifying internal problems (PCE II #15).

Accurate and complete management reports show a comprehensive picture of police problems and activities, in words and statistics. Management reports should tell police chief executives what things are happening, why they are happening, and what is being done. The reports should communicate existing and potential internal problems. They should also supply sufficient information to assure that these problems are getting proper attention.

Many kinds of information may be included in management reports. The exception principle generally prevails: report the unusual. One method used successfully by many police chief executives is to require routine reports at periodic intervals from each immediate subordinate. Special reports may be required at the conclusion of major police actions and for plans of anticipated actions. Other types of management reports include research and evaluation of data, and statistical presentations of crime and traffic conditions.

Regardless of size or complexity of police agencies, a management reporting system should provide for the gathering of information from throughout the rank structure. In smaller agencies, information on crimes, accidents, arrests, and personnel can be presented each morning to the police chief executive. In larger agencies, the police chief executive may want on his desk each morning a summary report of newsworthy or sensitive matters that came to the attention of the police during the previous 24 hours. Other weekly or monthly reports may be required in a form convenient for analysis and comparison to show crime trends and the effectiveness of police units, procedures, and policies.

³ Op. cit., p. 450.

In addition to the above reports, one large police agency requires biweekly written reports from each commanding officer to his superior, containing major activities and accomplishments. Reports from the several captains within a bureau are reviewed by the bureau commanding officer. Items of interest are passed on to the next high-ranking officer. The reports received every 2 weeks by the chief of police contain a wide variety of information, much of which would not be brought to his attention if such a system were not in effect. The procedure, used for the past 25 years in that agency, is very effective in bringing important matters to the attention of superior officers.

Complaints Against Agency Personnel. Although only 66 percent of the police chief executives from all agencies thought that monitoring complaints against agency personnel was a good or very good method of identifying internal problems, that percentage was exceeded by the percentage of positive responses from every group of agencies with more than 14 personnel. Fifty-one percent of the police chief executives from agencies with 14 or fewer personnel rated this method good or very good. The largest percentage of positive responses came from police chief executives from agencies with 1,000 or more employees: 87 percent of them indicated that this was a good or very good method (PCE II #15).

The International City Management Association, in its publication *Municipal Police Administration*, stressed the importance of complaint reception procedures when it stated:

Complaints are the warning signals which call official attention to errors or omissions in the police department program. If ignored, a bad situation may become worse. If they are given prompt and careful attention the city may be able to render even better service to the public.⁴

Some agencies have no procedure for receiving complaints about their employees. Other agencies have a procedure but discourage its use. Every police agency should have an established procedure to allow the public to bring questionable employee conduct to the chief's attention. All police chief executives should review each complaint or, in very large agencies, review statistical summaries of complaints.

The National Advisory Commission on Criminal Justice Standards and Goals, in its *Police* report, described in detail many internal disciplinary procedures and their value to the police chief executive as effective tools in maintaining control and establishing the prestige of an agency within the community.⁵

⁴ George D. Eastman, ed., *Municipal Police Administration*, 5th ed. (Washington, D.C.: International City Management Association, 1961), p. 49.

⁵ Op. cit., p. 469.

Conduct of Inspections. The process of inspection is the classic method of acquiring information to compare with agency expectations. Sixty-six percent of the police chief executives considered the inspection process a good or very good method for the detection of internal problems within an agency (PCE II #15).

Inspections can be formal or informal and their purpose is always to acquire information. Whenever a superior or a representative of a superior visits, contacts, or observes a subordinate operation, the result is an inspection. The information acquired may, or may not, require corrective action.

Whether an inspection is a military, standup procedure to look at shoeshines and haircuts, or a casual inquiry in an informal setting, it should help discover internal problems. Conditions, situations, and actions that contribute to the success or failure of police operations can be exposed by the inspection of persons, things, procedures, and results.

Audits of Agency by Outside Persons. Audits of an agency by outside persons, rated good or very good by only 21 percent of the police chief executives, received the lowest percentage of positive responses of the 20 methods listed on the followup questionnaire (PCE II #15). It is not popular among police chief executives to have someone come in and look for something wrong. Some chiefs who have been terminated, however, might have retained their jobs had they requested or permitted an independent audit of the agency.

Some States that have adopted standards and training for their law enforcement agencies also offer free management consulting services. Additional information on audits is included in Standard 1.

The *Police* report further defines the use of outside sources for problem identification:

Every police agency, large or small, should see itself now and then through the eyes of an objective, competent outsider. This can best be done by having an outside consultant conduct an in-depth evaluation of the effectiveness and efficiency of each component of the agency.⁶

Although indiscriminate use of such audits might be costly and disruptive, conditions occasionally do exist that make them worth the price.

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Related Standards

The following standards may be applicable in implementing Standard 12:

8 A Clear and Mutual Understanding

9 Assessment by Police Chief Executives

11 Establish and Communicate Objectives and Priorities

Standard 13

Lawful, Impartial, and Effective Police Service

Every police chief executive should provide lawful, impartial, and effective police service without regard to the race, sex, age, religious creed, national origin, or political affiliation of the persons served. Police chief executives must comprehend clearly the legal authorities, responsibilities, and areas of accountability relevant to their positions. They must maintain a proper balance of administrative independence and responsiveness, and remain free from political, partisan, or special-interest interference and pressure.

Every police chief executive should have a working knowledge of all laws, administrative directives, and other documents that specify or imply their authority, responsibility, or accountability. Police chief executives should formulate executive decisions within the parameters of legal authority.

Every police chief executive and his immediate superior should generate and maintain a climate of cooperation wherein each individual is a contributing member of an executive management team. A viable executive management team requires a balance of independence and responsiveness for all team members. Police chief executives, to be held accountable for agency performance, should have that degree of independence that is necessary to manage the agency in an effective manner. Police chief executives should be responsive to the lawful administrative authority of

their superiors, and superiors should be responsive to the needs of the police agency.

Police agencies should not become instruments of political, partisan, or special-interest influence or manipulation. Regardless of the political climate, the police chief executive should be delegated the authority and be held accountable for establishing nonpartisan administrative and operational policies to manage the police agency.

Commentary

Strong leadership by the police chief executive and the top staff of the police agency and support from the police chief executive's superior are required to instill a reverence for the law in agency personnel, to insure that service is impartial, and to promote police effectiveness.

Long-range police service effectiveness requires that police chief executives have a working knowledge of their legal authority and accountability. The executive must be a skillful leader to ensure that agency activities stay within those parameters. But it takes more than knowledge of the extent and limits of administrative and jurisdictional authority and accountability to achieve effectiveness.

Police chief executives must also be responsive to the lawful administrative authority of their superiors,

and they must be granted enough independence to administer their agencies properly. The balance of independence and responsiveness is delicate, but if police service is to be effective, these two elements must be balanced.

Partisan interference and pressure also may affect the leadership of an agency. Effectiveness of police operations requires that the police chief executive and the police agency be insulated from political, partisan, or special-interest influence or manipulation.

Authority, Responsibility, and Accountability

Administrative Authority. Police chief executives must have a working knowledge of the extent and limits of administrative authority to enable them to lead their agencies properly and to withstand challenges to their leadership. The administrative authority of public officials usually is defined in municipal or State statutory codes and executive orders. Administrative guidelines influencing executive authority may also be found in Federal or State laws and pertinent judicial decisions. The Equal Employment Opportunity Act of 1972, for example, contains Federal regulations applicable to law enforcement agencies.

Many police chief executives have authority to hire, discipline, and terminate subordinate employees. Their management prerogatives, however, are often regulated by administrative due process requirements. In this context, due process means that individuals cannot be disciplined or terminated from their employment without prior notice of charges, just cause, a fair hearing, and in some instances the opportunity to seek and obtain judicial review.

All police chief executives issue directives, but they must be aware that such directives cannot exceed the limits of their authority. The U.S. Constitution protects all persons against punitive actions that are based on race, sex, creed, and other personal beliefs. Police personnel cannot be denied their constitutional rights because they are employed by a public organization, even though a higher standard of conduct usually is expected of them.

There have been some court decisions regarding employee rights, hiring practices, and administrative discipline that dramatically affect the authority of police chief executives. Although many of the significant test cases have been heard in the State courts, the Federal judiciary has been particularly sensitive to issues relating to the employment practices of agencies that are recipients of Federal funds.

Consequently, police chief executives must be kept informed of legislation and judicial decisions that affect their authority and management prerogatives. Professional journals and periodicals are reliable sources of information. Publications by the Inter-

national Association of Chiefs of Police, the National Sheriffs' Association, the Federal Bureau of Investigation, the International City Management Association, and a variety of other professional law enforcement organizations do a commendable job of informing their readership on critical management issues.

Jurisdictional Authority. Police chief executives must also have a clear understanding of what authority they have within their village, township, city, county, and State. They also must have a clear understanding of what authority other enforcement agencies have within their jurisdiction. Sometimes misunderstandings over jurisdictional authority arise between State police agencies and sheriffs or between sheriffs and municipal police chiefs because the law is not clearly defined or because the law is interpreted in different ways.

Both State and Federal statutes define the limitations of police authority and power. Generally, law enforcement powers of police chief executives are included in the provisions of State legislation, particularly those powers permitted within incorporated municipalities or jurisdictions. In emergency situations, many States delegate law enforcement authority throughout the State to all police personnel. Similarly, limited authority is often extended to police agencies of adjoining States for the purpose of conducting an emergency arrest within the adjacent State.

In most States, the sheriff has jurisdictional authority within the geographic boundaries of his county. Under emergency circumstances, that authority gives the sheriff certain discretionary powers. Those powers may include the assumption of local law enforcement duties when the existing police agency is unable to maintain or is ineffectively maintaining the public peace. The American system of governments dictates independence and freedom from external and unwarranted interference. Therefore, many county administrative codes specify the conditions under which a sheriff may assume enforcement power within an incorporated jurisdiction of the county.

Similarly, the laws of many States and local jurisdictions delineate the authority of police chief executives and provide exact guidelines for peace officers who must cross geographic boundaries to take enforcement action. In this regard, many small and large police agencies have implemented mutual aid agreements (see Standards 9 and 14).

Accountability. Police chief executives are accountable to the community, to their superiors, to local and State government agencies, and to the courts. Police chief executives must understand the nature of the authority exercised by all of these groups or individuals and the processes through which they may exact accountability.

Because police authority is derived from the people, the police are accountable to the people. If the police steadfastly believe in their accountability to the public as they should, they ensure free-flowing communication between the police and the public.

Accountability requires knowledge. The public must be informed to maintain a proper perspective on those things for which the police should be held accountable. The public can assess its police if it is knowledgeable about police agency responsibilities and performance. Part 3 of this Report encourages an exchange of information between the police and the public. Standards 9, 11, 12, and 15 in particular call for the police to communicate with people in the community.

Appointed police chief executives are no less accountable to the people than are elected police chief executives. Sheriffs (usually elected) spend the same percentage of their time (14 percent) on public relations activities as their counterparts who head city and county police agencies do (PCE I #6). Additionally, when asked, "Considering those conditions which might jeopardize a police chief executive's position, which do you regard as very serious?" lack of community support was a condition chosen by 48 percent of State agency heads, 40 percent of municipal and county police chiefs, and 39 percent of sheriffs (PCE I #8). Although elected police chief executives are assessed periodically through the election process, they do not appear to be much different from nonelected police chief executives in the way they spend their time or in their concern for public support.

Nonelected police chief executives and many elected ones are answerable to a superordinate individual or group for job performance. Police chief executives have an obligation to keep their superior informed, and superiors have an obligation to inform their police chief executive.

Some of the superior-police chief executive relationships and the criteria superiors use to assess police chief executive performance are discussed in Standard 17. Assessment criteria represent the areas of performance for which police chief executives are held accountable. Most importantly, police chief executives are accountable for the quality of personnel performance and their own personal conduct.

To evaluate police chief executives' performance, superiors must have an indepth awareness of the police activity that directly affects the jurisdiction. Without such an awareness, the superior's own leadership and service falters.

Police chief executives and their superiors can best ensure a clear understanding of their accountability by maintaining open two-way communications. When communications stop or become un-

customarily guarded, it may be a signal that the relationship is faltering.

Police chief executives are also answerable in various ways to other government entities. City councils, boards of supervisors and State assemblies provide budgeted funds for police agencies, and they require police chief executives to account for their agency's fiscal expenditures. To the courts, police chief executives are accountable for illegal conduct—their own and, in some cases, that of their agency.

Courts are empowered to issue orders and injunctions to police agencies. An order may require that a law be enforced and an injunction may require that enforcement of certain laws be delayed. Police chief executives are often responsible for proving to the courts that due process has characterized all arrest, interrogation, and booking processes and that evidence of an offense has been acquired lawfully and is sufficient to support the charge. The policies and procedures that police chief executives promulgate must honor both the intent and the language of the law. Court decisions should be analyzed carefully, and, when necessary, agency guidelines should be effected promptly to reflect those decisions.

Police chief executives must carry out the wishes of a court when it requires an agency to abandon practices that the court finds legally objectionable. Certain crimes because of their nature or the identity of the alleged perpetrators have been overpublicized by the news media, for example. Publicity has been deemed to threaten the rights of a defendant to a fair and impartial trial. Courts, therefore, have issued gag orders severely restricting the amount of information that a police agency may disseminate prior to a trial's completion, under threat of contempt of court proceedings.

Independence and Responsiveness

Independence and responsiveness should be balanced so that police chief executives may direct the functions, develop goals and objectives, generate policy, deploy resources, and discipline personnel of their agencies.

Police chief executives have differing degrees of authority to manage their police agencies. The percentage of time a superior spends on police agency activities is one indication of the independence of authority an executive may have. Some superiors spend only 1 percent of their time in relation to the activities of the police agency under their supervision: other superiors spend 100 percent of their time on police agency related matters (Superior #19). On the average, superiors spend 10 percent of their time in relation to police agency affairs, but superiors who are directors or commissioners of police or public safety spend an average of 50 percent of their time

Table 13.1 Percentage of Time Spent Supervising Activities of Police Agency

All Superiors Reported in Quartiles						
	Number of Respondents	Min.	Q-1	Median	Q-3	Maximum
Elected	339	1	10	15	25	100
Nonelected	430	1	8	10	20	100
All Superiors	773*	1	9	10	20	100
Mean 19.2					Standard Deviation 18.956	

Superiors Who Are Directors/Commissioners of Police/Safety						
	Number of Respondents	Min.	Q-1	Median	Q-3	Maximum
All	74	2	20	50	65	100
Mean 48.0					Standard Deviation 26.263	

Source: Superior #19.

* Four superiors did not indicate whether they were elected or nonelected.

on police agency matters (Table 13.1). A full-time superior who spends 100 percent of his time on police agency matters probably has a police chief executive who is dependent on him for police decisionmaking, and a superior who devotes only 1 percent of his time to police agency affairs probably has an independent police chief executive. The percentage of time spent, however, is only one indicator of differing degrees of authority.

Probably the main reason for the variations in the authority given to the police chief executive is the lack of a role definition. Not enough thought has been given to what the job of the sheriff, police chief, and State police head is, could be, or should be.

The general prerogatives of the police chief executive should be clarified and agreed upon at the time the office is assumed (Standard 8). It is essential that police chief executives determine what authority they possess and may exercise independently. When prerogatives are shrouded in doubt or caught up in a tangle of red tape, responsibility is not placed, action is not taken, and law enforcement can suffer a major loss of effectiveness.

In turn, police chief executives must be responsive to the lawful administrative authority of their superior. Effective communication between police chief executives and their immediate superiors is the key to achieving that responsiveness.

Effective communication can be maintained through regular written reports from the chief to the superior about agency activities. Occasional reports, submitted on the exception basis, however, often serve the purpose. Many police chief executives also prepare a comprehensive annual report to update their superiors and others on agency performance achievements.

The degree of police chief executive independence is often apparent by the superior's involvement in police personnel matters. Personnel assignment, advancement, and discipline are areas that must be within the authority of the police chief executive. Although in many jurisdictions the recruitment of police personnel is conducted by agencies such as personnel departments or civil service commissions, police chief executives should contribute to the establishment of standards that govern employment in their agencies. Action that affects the police agency taken unilaterally by a central personnel agency is unacceptable to the police profession.

The integrity of police agencies can be maintained only by effective and responsive personnel. Written guidelines establishing policies, rules, and procedures should be issued by the police chief executive. These can provide needed guidance to agency employees. In some agencies, general agency policies are approved by the superior prior to implementation, but

implementing rules and procedures are issued by the police chief executive without the need for obtaining superior approval.

Special-Interest Pressures and Undue Partisan Interference

Police chief executives are sometimes under intense pressure from people who, although well-meaning, make special requests that are not in the best interests of the public. Most police chiefs, sheriffs, and heads of State agencies successfully resist such pressure. The interview phase of this study revealed, however, instances in which the police chief executive was terminated apparently because he resisted special-interest pressure or undue partisan interference in the administration of the police agency.

Police chief executives, when asked to indicate the severity of problems confronting police chief executives in their region, gave "excessive involvement of appointed or elected officials in police agency management" an average of 3.4 on a scale of zero to 10 (PCE I #5). Ten problems received a higher average value and eight received a lower average value (Figure 12.1, Standard 12). "Special-interest groups," as a problem, averaged 2.7 on the scale, placing it in the lowest quartile. Many police chief executives gave these problems a value of 10, indicating that they pose extremely serious problems to some enforcement agencies. Also, many individual police chief executives circled zero or 1, indicating that problems are nonexistent or routine, not serious, and have been controlled sufficiently.

As a practical matter, superiors of police chief executives often have the discretion to determine whether their police chief executive will be kept free from partisan interference or not. There are jurisdictions that acquire new police chief executives every 2 or 4 years—the same years that governing officials are elected. Some victors of political campaigns may remove systematically all of their predecessor's appointees in keeping with locally accepted partisan practices. The police chief executive whose tenure is predicated upon the political successes of a superior, however, may be subjected to compelling influences that adversely affect the police agency's ability to provide impartial service. This complicates the police chief executive's duty to make decisions regarding public safety that are free of partisan or other self-serving special interests.

The survey conducted for this study revealed that throughout the Nation, 64 percent of the police chief executives at the State level, 29 percent of the police chief executives of city and county agencies, and 3 percent of the sheriffs were politically appointed (PCE I #H). Yet, of all police chief executives

questioned on this subject, only 18 percent agreed or strongly agreed that "political appointment" was a good way to select a police chief executive. The great majority of police chief executives, 73 percent, disagreed or strongly disagreed with that method of selecting police chief executives (PCE I #3).

The survey also asked respondents to identify those conditions that might place a police chief executive's position in jeopardy. Thirty-nine percent responded that political pressure would be a significant factor (PCE I #8).

In another question, police chief executives were asked to indicate whether they believed that elected police chief executives should run for election or re-election as partisan candidates identified by party affiliation or as nonpartisan candidates (PCE II #16). The nonpartisan status was favored by 68 percent of sheriffs, 80 percent of State agency heads, and 85 percent of city and county police chiefs.

Many police chief executives contributed written comments on the questionnaire regarding political interference and pressure (PCE II). The following excerpts typify the general responses:

- "Police chief executives should be given every opportunity to perform without interference from politicians within or outside the system."
- "The police department is a public service organization so it must serve the whole community. Each police chief executive should be protected against special-interest pressure groups, political pressure, and partisan head hunters."
- "The police chief is to protect the people in town and should not worry about what party is in office."
- "As a police officer, it irks me to no end to hear of departments involved in politics; officers selected through political pull; pressures brought to bear from politicians on officers in some departments."
- "The profession is cluttered with economic cowards who cannot afford to risk opposing political pressures."

These responses indicate that police chief executives believe strongly that partisan political considerations should not be a part of the police service. This particularly is true of police chief executives from the Pacific census division where 93 percent believed elected police chief executives should not be identified with a political party. Neutrality and impartiality, which must be fostered by police agencies, are often hampered in a partisan political environment.

Isolation of police chief executives from the existing political structures of government is neither possible nor desirable. Police chief executives must recognize that these duly constituted governmental structures exist and that they must work within them. Police chief executives should remain politically uncommitted, however, while interacting with partisan groups or individuals for the good of their agencies and for the improvement of public service.

The legitimate interests of the community frequently are expressed most effectively by elected or partisan officials. The political process, in and of itself, should not be castigated by police chief executives. It is through the constitutional political process that police chief executives receive their greatest mandate for improving the service their agencies provide. It is improper partisan influence that jeopardizes the police chief executive's ability to provide impartial service.

Police chief executives should be able to recognize whether or not those influences are proper and they should be prepared to identify publicly those that threaten the neutrality of the agency. They should also recognize their responsibility to warn the community when it unwittingly permits partisan pressure to affect the police agency adversely.

Avoiding improper partisan or special-interest influence can also be a function of the type of supervision police chief executives receive. Superiors have an opportunity, and some believe a responsibility, to act as a buffer between their police chief executives and partisan influences that are directed at the police agency. This applies particularly to attempts by elected officials other than immediate superiors to influence policies or procedures of the agency.

Some elected officials effectively act as a buffer between the political structure and their chief. Police chief executives, however, disagree as to whether an elected or nonelected superior is best. Interviews revealed that many police chief executives preferred elected superiors because the police chief executives can present police matters directly to those who have final decisionmaking authority. They contend that nonelected superiors are constrained in their decision-making authority and, as one police chief executive of an agency with more than 1,000 personnel put it, "The city manager cannot respond adequately to the 'peaks' created by action or inaction of the police department."

Many other police chief executives preferred nonelected superiors because they are most likely to have the professional training to administer the affairs of the employing jurisdiction. Their decisions are less apt to be politically motivated. This position was summed up by the police chief of a large agency who stated, "Elected officials will make promises to their police chief, then back down because of political pressure."

In many States and jurisdictions, provisions exist for appointed boards or commissions to act as supervising authorities over the police agency and its chief executive. In those cases, such a board acts as the buffer between the agency and special-interest demands upon the agency.

Forty-eight percent of the police chief executives, responding to a survey question, indicated that the police chief executive should be supervised by a board acting through majority vote. Supervision by one individual was also popular, with 37 percent supporting that alternative. Twelve percent indicated that supervision is best performed by an individual with concurrence from a higher authority. A higher percentage of heads of State police agencies preferred being supervised by one individual than preferred supervision by a board acting through majority vote, with 61 percent preferring the former, and 28 percent the latter (PCE II #12). This was the only grouping of police chief executives that preferred to be supervised by one individual.

Interviews with police chief executives revealed strong differences in personal attitudes regarding an individual or board as supervisor. Many police chief executives believed that either method could work if the individuals involved had the necessary integrity and interest in professional police service. In many cases, however, those police chief executives supervised by an individual spoke strongly in favor of that relationship on the grounds that police chief executives may identify their responsibilities clearly and that they have only one individual's opinion to deal with. They objected to dealing with a group generally because individual members of a board may try to influence policy on behalf of a particular special-interest group or without the board's consensus.

Those police chief executives supervised by a board, however, spoke of the ability to avoid serious confrontation with one individual who in many cases had the power to terminate a police chief executive summarily. With a board, a disgruntled member would have to convince the majority that a police chief executive had been acting improperly before conclusive punitive action could be taken. Police chief executives working for a board also stated that a board was a good instrument for preventing partisan influences from affecting the agency. They noted that influencing the majority of a board would be more difficult than influencing one individual.

The effective provision of police services is contingent upon a great many factors, not all of which are within the direct control of police chief executives. To be truly effective, however, police chief executives must possess sufficient authority to lead their agencies, and they must be able to work in a political and social climate that actively encourages lawful and impartial police service. That climate and the extent of police chief executive authority, with commensurate accountability, may very well be the keys to whether improper special-interest influences will be permitted to have a bearing upon the police agency.

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Related Standards

The following standards may be applicable in implementing Standard 13:

- 8 A Clear and Mutual Understanding
- 11 Establish and Communicate Objectives and Priorities
- 15 Public Expression of Professional Opinion

Standard 14

Interactions Within the Criminal Justice System

Every police chief executive should interact personally with the heads or representatives of all criminal justice agencies that have jurisdiction in common with the police agency. The purpose of these interactions should be to ensure that agency policy is consistent with criminal justice system objectives.

Every police chief executive should cause his subordinate personnel to establish contacts with officials within other criminal justice agencies. The purpose of these contacts should be to establish mutual understanding of the total criminal justice process and to ensure cooperation with practitioners in other agencies.

Every police chief executive should establish and maintain close working relationships between the police agency and other agencies in the criminal justice system. Such relationships may be initiated and maintained through frequent meetings, joint training seminars, and institutes.

Commentary

The criminal justice system is made up of inter-related components. Each component is important, but the system varies in complexity from one jurisdiction to another. The criminal justice system has been viewed as a jumble of ill-coordinated and inefficient agencies, each pushing its own budget and

other parochial interests with no regard for an overall plan to cope with increasing crime: It has been concluded that the criminal justice system is a non-system.¹ This conclusion cannot be dismissed.

Police chief executives participating in the survey for this study were asked to indicate the severity of problems confronting their region, although not necessarily their agency (PCE I #5). The problems included crime, probation, processing by courts, correction, budget, recruitment, retention, media coverage, special-interest groups, corruption, discipline, employee relations, and others. A review of the summarized data revealed that criminal justice problems generally received more severe ratings than the other problems (Standard 12, Figure 12.1).

This system can be viewed as a series of components in one complex process. The police are generally the input component: They identify and apprehend persons involved in criminal activity. After the suspected criminal is apprehended, the prosecuting official determines the weight of evidence against the accused, and decides whether or not to file a formal complaint. When a formal accusatory instrument is filed, the police procedures employed

¹ U.S. Advisory Commission on Intergovernmental Relations, *State-Local Relations in the Criminal Justice System* (Washington, D.C.: Government Printing Office, 1971), p. 13.

are reviewed as to their constitutionality by the court. The court will then make a determination of guilt or innocence. Upon a finding of guilty, the court may impose a sentence ranging from probation to a monetary fine or confinement, or a combination of alternatives. The corrections component of the criminal justice system then has the responsibility when the convicted person is confined or placed on probation.

As a system, criminal justice can function effectively only to the degree that each of its components is able to relate to the other components. The absence of functional relationships between the various components in the system creates fragmentation and ineffectiveness. As is true of any social system, there are many different personalities involved in the administration of the system. The system represents multiple disciplines, with persons from each discipline having their own perspectives on the administration of justice.

It has been observed that the perspectives of people within the criminal justice system are so specialized and formalized that one discipline cannot easily relate to another. Yet, there are often excellent relationships at the lowest levels of agencies in the criminal justice system. Police detectives often relate well with deputy prosecutors. Sheriffs' deputies, State troopers, and municipal police officers back up one another. It is often at the middle and top levels of agencies where communications fail.

Because communication outside of one's own discipline is difficult at the upper levels, problems arise and misunderstandings occur. Barriers to communication between agencies frustrate the effective functioning of the criminal justice system. Although the components of the system may experience some inconvenience and frustration, it is the public—the ones whom this system is designed to serve—that suffers.

In 1967, the President's Commission on Law Enforcement and Administration of Justice articulated the need which had been recognized for many years, for communication and cooperation among local criminal justice agencies.² The National Advisory Commission on Criminal Justice Standards and Goals, in its *Police* report, further underlined the need for increased cooperation.³ In the few years since these reports were published, great progress has been made in getting the components of the

system working together, but much remains to be done.

It would be impossible for any one component of this system to meet the overall goal of crime prevention successfully. Each component must, therefore, be aware of the problems and needs of the other components. This knowledge cannot be gained internally, but must be obtained through communication with other components.

The police are the most visible representatives of this system and are genuinely concerned about the outcome of criminal proceedings. Perhaps this is because the police are in the best position to be on the scene of a crime and to observe the tangible effects of crime on its victims and on society as a whole. The police, more than any criminal justice component, develop a sensitivity for the victims of crime because police officers see the blood, understand the impact of the loss, and daily observe the fear and anxiety that permeate today's society.

When the entire criminal justice system is examined, however, it becomes clear that the police are only one component of a complex system. Although the system may be viewed by the average citizen as a group of components operating in concert, the necessary elements of cooperation and coordination frequently are lacking.

The criminal justice system as a whole is most often criticized because of the delays involved between arrest and the criminal trial. Each component should conduct internal assessments to identify conditions and procedures that contribute to these delays. There should also be a cooperative effort of all components to coordinate their activities in order to generate a swift, harmonious, and effective criminal justice process.

Creation of procedural and philosophical continuity throughout the criminal justice system requires open communication among all components, a thorough understanding and appreciation by each for the duties and responsibilities of the others, and the development of compatible policies and objectives.

The *Uniform Crime Charging Standards* prepared by the California District Attorneys Association puts the role of the criminal justice system in a clear perspective:

The actual enactment of laws involves a balancing of the need for individual freedom with the need for social stability. This balancing process does not cease with the enactment of laws, though. The successful operation of the enforcement mechanism for these laws, the criminal justice system, also involves a balancing process. The overall goal of maintaining a free, just, and lawful society continues to be relevant in this balancing process.⁴

⁴ *Uniform Crime Charging Standards* (Prepared and published by the California District Attorneys Association, December 1975), p. 5.

² President's Commission on Law Enforcement and Administration of Justice, *The Challenge of Crime in a Free Society* (Washington, D.C.: Government Printing Office, 1967).

³ National Advisory Commission on Criminal Justice Standards and Goals, *Police* (Washington, D.C.: Government Printing Office, 1973), Standard 4.1, pp. 73-76.

In accomplishing this balance, each component of the enforcement mechanism (the criminal justice system) should develop policies, procedures, and objectives designed to achieve the traditional purposes of the criminal justice process. The *Uniform Crime Charging Standards* defines those traditional purposes as:

1. The protection of society from individuals who pose a danger to the persons or property of other individuals;
2. The deterrence of other individuals from posing a similar danger in the future;
3. The punishment of individuals for failing to fulfill their responsibility to obey the laws on which the preservation of an orderly and free society rests;
4. The rehabilitation of individuals so they can become law abiding members of a free society and thus permit other individuals more secure enjoyment of their freedom.⁵

It is within this context that each component must have an interest and a voice in the methods that are utilized throughout the criminal justice system in combating criminal activity.

Methods that are incompatible with the achievement of the basic purposes of criminal prosecution should be discouraged. Sentence negotiation, for example, may clear court calendars, reduce caseloads for prosecutors, and release police officers for field activities, but rarely do such negotiations accomplish either of the four vital purposes. Recognizing this, many police chief executives, prosecutors, and judges have voiced strong objections to plea bargaining.

Some judges have advocated that the police have an input into any presentencing considerations by the court, with the police position being communicated to the court by the prosecutor.

The validity of police interest in court dispositions was addressed by the Advisory Committee on the Police Function in *Standards Relating to the Urban Police Function*:

In a formal sense, it has often been argued that police ought not be concerned with or affected by a court's disposition of a case; that they ought to restrict themselves to applying the law—respecting the independence of the judiciary in determining guilt and in deciding upon an appropriate sentence. This posture on the part of the police may be appropriate as applied to a specific offender, but it is unrealistic to expect the police to assume such a posture with regard to classes of offenders or types of problems, especially in large cities, where the police are engaged in routinely processing large numbers of petty offenders who are then routinely processed by the courts. What happens to such offenders is not only a matter of concern to the police; the form of court disposition becomes a factor in determining whether or not the police decide to make use of the criminal process at all.

It makes little sense, for example, for the police to invest substantial resources and effort in the development of criminal prosecutions against large numbers of street prostitutes in response to community complaints regarding the nuisance

they create—only to find that there is no effective correctional program for or even court concern about prostitutes. Such a situation produces tremendous frustration for the police. The basic problem, about which the police are being pressured, remains. The situation creates a temptation on the part of the police to improvise police-imposed sanctions as an alternative to resorting to the criminal justice system.⁶

A prevalent philosophy a decade ago was that the police should do their job without concern for the efficiencies of other criminal justice agencies. If the prosecutor refused to file a complaint, if the courts dismissed an action, or if the parole board released a criminal, the police were told that they should not be concerned. The police adopted the philosophy that they should be insensitive to what others did, but should continue to do their best and ignore the actions of other criminal justice agencies. That philosophy has changed. The police have become interested in what others in the criminal justice system do. Each component should be vitally interested in what other components in the system do.

Toward Improvement

Police chief executives actively should initiate and encourage interactions with their counterparts in other components of the system. If a police chief executive waits for some other person to get the system working together, it probably will never happen. Ideally, such interactions should include all the principals in the area who actively are involved in the administration of justice. Exception should be made when there are so many heads of agencies that it would be impractical to meet together or that representation of all agencies would be imbalanced.

State or local planning agencies are sometimes used as a forum for coordinating components of the system. The primary purpose of planning agencies is to coordinate criminal justice planning and to funnel grant money to improve the criminal justice system. The structure of the planning agencies and the fact that the meetings are public and that agenda items are prescribed may curb their effectiveness as a substitute for criminal justice groups. They can be an effective supplement to criminal justice coordination groups, however.

There are many examples of criminal justice agencies working together. One example took place in a county where the police chief was instrumental in forming a Law Enforcement Council. The council is composed of police officials, prosecutors, corrections personnel, and members of the judiciary. Members of the council meet frequently in a semisocial, semibusiness setting to discuss problems involving

⁵ Ibid., p. 6.

⁶ American Bar Association Project on Standards for Criminal Justice, *Standards Relating to the Urban Police Function* (American Bar Association, 1974), p. 259.

each of the components. Every member of the various components is encouraged to become a member of the council. The chief has found this method beneficial for solving mutual problems.

In another area, a criminal justice group found that a corrections department was not screening prisoners properly before releasing them back into society. As a result, many of these criminals were further victimizing the public. After several unsuccessful attempts to persuade the head of the department to change the procedure, members of the group sent a letter to the Governor and other State officials. The corrections problem was resolved to the group's satisfaction.

In a major city, the police chief was instrumental in forming a criminal justice group that consists of principals only. Members of the group include the police chief, sheriff, presiding judges of the municipal and superior courts, district attorney, public defender, president of the county peace officers' association, chief probation officer, and the president of the county bar association. The group meets once a month to discuss and resolve mutual problems within the criminal justice system. The group has been instrumental in reducing court congestion by causing an increase in the number of deputy district attorneys, deputy city attorneys, and public defender's attorneys. Additionally, through the group's effort, police officers are placed on call for court appearances rather than automatically appearing in court on the date subpoenaed and waiting until their cases are scheduled for trial.

By mutual agreement, the meetings of this group are attended only by the principals. They are the ones who can speak with authority and therefore obtain results. If the principal member is absent, the agency goes unrepresented.

Soon after the criminal justice group was formed, they recognized the need for greater emphasis on juvenile problems. Each criminal justice group member appointed a subordinate to be a member of a separate juvenile justice group. That group is composed of the presiding judge of the juvenile court, a juvenile probation officer, a prosecutor, correctional personnel, and high-ranking officers of the participating police agencies. The juvenile justice group has been very effective in causing improvements in the juvenile justice system.

The juvenile justice group is a good example of subordinates to the criminal justice principals who meet together to get something accomplished. Other subordinates within various agencies should meet routinely to improve the system. In one area, chief planning officers representing police, sheriff, prosecutor, and court agencies, along with the representative of the State criminal identification agency,

routinely meet to resolve problems within their spheres of authority. The chief planner for a prosecutor's office who was working on a way to record court dispositions learned at one meeting that the court's planning unit was working on the identical problem, but with limited success. They joined forces to resolve the problem.

In areas where the court is regionalized or administered by circuit justices, principals who travel the circuit or region should not be deterred from meeting with criminal justice officials. Meetings between police chiefs, the sheriff, and the county prosecutor can be scheduled when the circuit magistrate is in the area. Further, periodic meetings on a quarterly or semiannual basis can be arranged at the State or regional level.

Rather than prescribe a specific configuration for group discussion, the group should choose a configuration that is comfortable for all its members. Some groups alternate chairmen annually. Others alternate chairmen more frequently, and in still others, there is a permanent chairman. Some groups have structured meetings; others prefer unstructured discussions. One group focuses on different components of the system, and the principal from the concerned component agency chairs the meetings.

If the criminal justice components are to become a system, principals in the criminal justice process must exchange ideas and offer solutions to their problem. If serious problems are discovered that might be overcome through the enactment of legislation, the group should provide a united effort to get legislation introduced to improve the system.

Training

Joint training seminars and institutes are effective in exposing practitioners to problems of other agencies in the criminal justice system and in generating an understanding of various points of view. One of the most effective ways to get people to work together is to get them together in a learning process. There are many ways that joint learning programs can be accomplished.

The William H. Parker Memorial Fund in Los Angeles sponsored a series of criminal justice institutes for practitioners in the criminal justice system. Predetermined seating placed people from different components of the system together, and limited the grouping of people from the same agency or the same discipline together. The all-day sessions consisted of presentations from a judge, a prosecutor, a public defender, a police official, and a probation official.

Discussion groups were formed to permit reflection on presentations made. Topics of discussion

included the public defender's zeal in defending hard-core recidivists, the positions of the various participants on so-called victimless crimes, reasons for delays in criminal proceedings, plea bargaining, and things that should be done to improve the system. It was apparent that philosophical differences of opinion existed, but genuine sincerity was apparent in the various points of view and many participants stated they gained a better understanding of how others perceived their roles in the criminal justice system.

That type of beneficial exchange can take place in every area of the Nation. Colleges and universities have offered similar institutes. They have been held in hotel meeting rooms, on college campuses, and at police academies.

Internship is another way to learn of other problems and viewpoints. An exchange of personnel whereby a probation officer interns in a police agency and a police officer works alongside a probation officer can be effective. Although police officers cannot sit as judges, they can spend time with the court clerk and judge to learn other points of view, and judges can ride in patrol cars to get a firsthand look at the tragedy that police see every day.

One prosecutor's office has established a training program for promising deputy prosecutors. The attorneys spend several months working alongside other practitioners in various criminal justice agencies, and gain a perspective that cannot be obtained from books or in classrooms.

Any number of methods can be used to get people at various levels in criminal justice agencies to share viewpoints and learn together. It is not uncommon to find criminal justice practitioners interacting in areas where just 3 years before they had not been speaking to one another.

Building a True System

Interaction within the criminal justice system is necessary to give meaning to the words Criminal Justice System. Police chief executives should take the initiative to get people in the agencies that make up the system to work together. When principals and subordinates begin communicating with their counterparts in other agencies, there must be more than the development of personal acquaintances and social interactions; the relationships must be oriented toward improving the system.

Some criminal justice group members upon developing policy guidelines for their own agencies that affect other agencies, have presented those policies to the criminal justice group for the group's confirmation. If every criminal justice agency de-

veloped agency policy that was consistent with the policies of other agencies that have jurisdiction in the area, a true criminal justice system would begin to emerge. Criminal justice system objectives and priorities, similar to agency objectives and priorities discussed in Standard 11, would become an actuality.

Individual agency isolationism has given way to communication with an interest in other criminal justice agencies. The next step—to get criminal justice agencies actively working together—has begun in various degrees in many areas of the Nation. The final step—to develop agency policy that meets objectives and priorities of the criminal justice system—is necessary before the criminal justice process actually becomes a system.

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Related Standards

The following standards may be applicable in implementing Standard 14:

9 Assessment by Police Chief Executives

11 Establish and Communicate Objectives and Priorities

Standard 15

Public Expression of Professional Opinion

Every police chief executive should express publicly his professional opinions on important issues relating to public safety. Police chief executives should inform the public of potential dangers, prevalent crime or traffic problems, proposed legislation, and any other issue that may affect public safety. Public utterances by the police chief executive should be designed to generate public interest, relieve public tension, dispel rumors, build public confidence, and obtain public support for the needs of proper and effective law enforcement.

Every police chief executive should use any available forum to disseminate information to the intended audience. Such forums may include: public gatherings, news conferences, prepared statements to the media, and articles for publication in various periodicals.

Every police chief executive should develop personal skills to permit the effective delivery of information to the public.

Commentary

During the last several years, the public has demanded, in a variety of ways, that it be kept better informed about the activities of its government. Government cannot truly serve the people unless it communicates with them. Criminal justice agen-

cies are among the government agencies that need to improve communications with their constituents.

No government activity sparks community interest more continuously than police-related issues. Police service issues affect everyone in the community. No other segment of government provides a service more personal than the protection of each individual's life, liberty, and property. The community's interest in its safety is a healthy expression of a right that should be honored with information from all knowledgeable sources.

This Nation is governed by the people. Every person is responsible for effective government, and can only carry out that responsibility if he or she is an informed citizen. Police chief executives have a responsibility to contribute to the public's knowledge. There usually is no person more knowledgeable about community safety than the police chief executive.

The public constantly is kept informed by news items that, in one way or another, involve the police. Many such items are related directly to the ability of the police service to maintain peace and order in society. It is the police chief executive's duty to keep the public informed by speaking out on issues involving public safety—not from a political standpoint, but from the standpoint that the public has a need and a right to be informed on public safety issues.

Obligation to Speak Out

In the survey conducted for this report, police chief executives and superiors acknowledged that police chief executives should communicate with the public on issues relating to public safety (Figure 15.1). Both groups were asked to indicate whether or not they agreed with the statement, "The police chief executive should have the latitude to publicly express his professional opinion on issues relating to public safety" (PCE II #14; Superior #16). The statement received agree or strongly agree responses from 89 percent of the superiors and 98 percent of the police chief executives. Among the nine census divisions, there was little variance from the national average by either police chief executives or superiors. The range of support in the nine census divisions for police chief executives expressing opinions on public safety issues was from 84 percent to 94 percent for superiors and 96 percent to 100 percent for police chief executives.

When responses were viewed by type of agency reporting, positive response rates from police chief executives and superiors remained constant. Police chief executives of State agencies were unanimous—100 percent of them agreed or strongly agreed with the statement. Sheriffs reported 97 percent agreement; municipal police chief executives, 98 percent. Superiors of State police chief executives gave the highest percentage of positive responses to police chief executives expressing their opinions publicly, with 100 percent agreement. The percentage of positive responses from superiors of municipal police chief executives was the same as the national average positive percentage of all superiors—89 percent. There was no difference in the level of support by elected and nonelected superiors: 90 percent of both groups either agreed or strongly agreed with the statement.

It is the duty of every police chief executive to inform the public of potential dangers, prevalent crime or traffic conditions, proposed legislation, and any other issue that may affect public safety. Superiors of police chief executives must extend to police chief executives the latitude to make public statements about public safety issues. If either the police chief executive or the superior fails to meet this obligation, the public is denied the right to be kept informed. As one police chief executive put it:

The motives of those who would gag their chiefs should be critically assessed. The courage of chiefs who remain silent to the detriment of those whom they are pledged to serve, should be questioned. It is a credit to the profession of city management and the police service that the leaders of both should so overwhelmingly endorse the fulfillment of this obligation.

The duty to keep the public informed is an obligation that cannot be taken lightly. Police chief executives must consider carefully the issues they might bring to the public's attention. There should be a connection between the issues addressed and safety of the public.

A major factor in maintaining peace and order is the police chief executive's ability to defuse controversy and to promote an environment of respect for fellow humans throughout the community. Accordingly, police chief executives must take care not to vent their personal frustrations in public forums, and they should think about the consequences of their statements.

A distinction must be made between professional opinions and personal preferences. Police chief executives, just as all other members of society, have the right to personal preferences on all public issues. The obligation of the police chief executive to express professional opinions publicly on issues affecting safety does not, however, encompass the luxury of using the position to promote unofficial personal preferences. A police chief executive, for example, correctly may express his professional opinion on anticipated results from proposed legislation to decriminalize marijuana. He should be careful, however, not to express his personal views on legislators and others who might be proponents of such decriminalization.

Public expressions of opinion by the police chief executive must be designed to generate public interest, relieve public tension, dispel rumors, build public confidence, and obtain public support for proper and effective law enforcement.

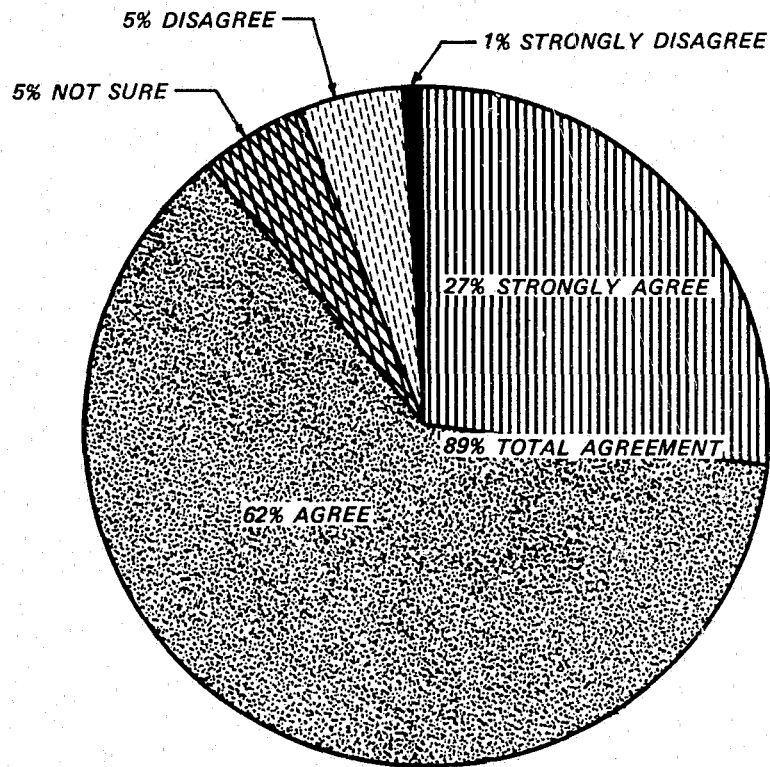
Reluctance to Speak Out

Although there is strong support from police chief executives and their superiors for police chief executives to speak out, interviews revealed a reluctance by police chief executives to do so. Police chief executives fail to express their opinions on public issues for several reasons, including fear of being summarily removed, caution about gaining more public exposure than their superiors, lack of self-confidence, and inability to articulate their position as well as they would like.

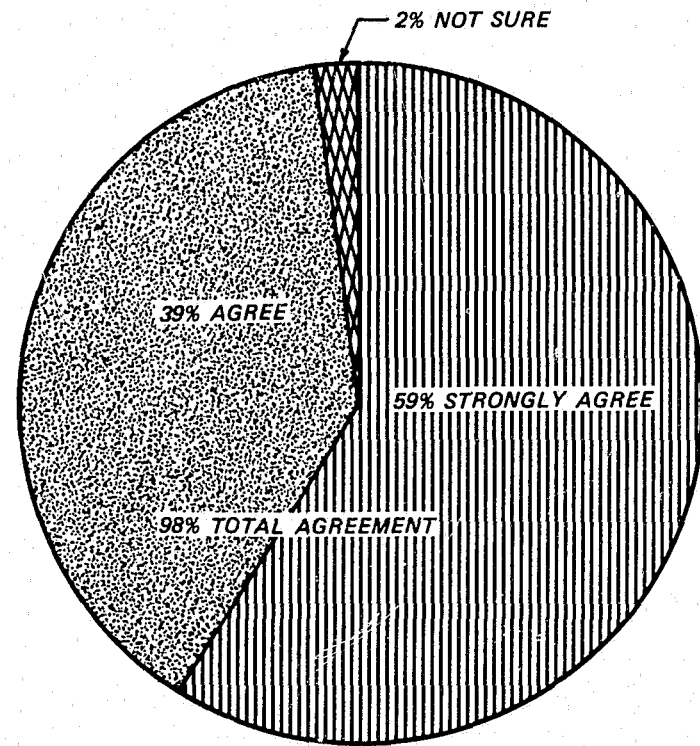
Indirect pressure from a superior often prevents a police chief executive from speaking out when he knows he should. Some superiors even apply direct pressure. Several police chief executives reported in interviews that their superiors had directed them not to express their opinions on public safety issues. Some police chief executives reported that they were instructed by their superiors not to answer questions

FIGURE 15.1

EXPRESSION OF PROFESSIONAL OPINION



SUPERIORS



POLICE CHIEF EXECUTIVES

In response to a question about the expression of professional opinions, 98 percent of the police chief executives and 89 percent of their superiors agreed or strongly agreed that a police chief executive should have the latitude to express opinions on issues relating to public safety.

about police matters asked by elected officials within their jurisdiction.

Elected police chief executives are not as constrained in expressing their opinions as are their nonelected counterparts. The fact that a real difference in the freedom to speak out exists between elected and appointed police chief executives was affirmed by police chief executives who have served in both capacities. One elected police chief executive stated: "While I was an appointed police chief, my superior let me know that I would be fired if I spoke out. Now, as an elected police official, I say what I think needs to be said." Another elected police chief executive stated: "There are strong police chief executives in my area who are appointed. Most of them would be fired if they said what is really on their minds. They come to me and I say it for them, if I agree. I speak out all the time."

Interviews also disclosed that appointed police chief executives who have the protection of due process (Standard 18) are less constrained in publicly expressing their opinions on matters of public safety than are police chief executives who serve at the pleasure of their superiors. Financial security is also an important factor: police chief executives who are eligible for a handsome pension tend to speak more freely than those who do not have that economic security.

Forums for Informing the Public

Communities are interested in what their police chief executives have to say. In interviews, most police chief executives reported receiving a great number of requests to address a variety of audiences including high schools, universities, churches, service clubs, and business associations. When police chief executives do make personal appearances, the audience is usually large, representative of the community, and attentive. In fact, many police chief executives receive more requests for personal appearances than they can accommodate.

Face-to-face communication with the community is an important but limited forum. Issues of public interest arise almost daily and should be communicated. But many citizens rarely attend meetings of any kind, and the number of people who can be reached through personal appearances is limited.

In most jurisdictions, including those served by small police agencies, there are several available forums that enable police chief executives to reach broad sections of the public. These methods of communication are generally underused. Such forums include: news conferences with the written and electronic media, prepared statements for the media, and articles for publication in various periodicals.

The public communication media have the potential to reach nearly every person in the Nation on a daily basis. According to the 1975 edition of *Broadcasting Yearbook*, there are approximately 952 television stations and 7,785 radio stations in the United States.¹ There are 1,768 daily newspapers in the Nation, according to the 1975 edition of *Editor and Publisher International Yearbook*.² They are all in the business of informing the public. Some police chief executives have found that each of these forms of media is anxious to disseminate information on police activities that affect public safety, and that each effectively draws public attention to police administration and operations issues.

Bringing information to the attention of the public can bring results that otherwise would not occur. A governmental body, for example, changed police recruitment standards, and the police chief executive thought these changes would be detrimental to the police service and police morale. The police chief executive expressed his professional concern at a televised news conference. The controversial recruitment standards were soon modified.

In another jurisdiction, the police chief executive directed community attention to the rising rate of traffic fatalities by meeting with the editor of the local newspaper and providing the paper with daily statistics of serious and fatal traffic injuries. The statistics appeared daily on the front page of the local paper. The community apparently realized that those cold statistics represented their friends and neighbors, and the fatality rate soon began to decrease.

Need to Develop Communication Skills

Although the public is more interested in receiving factual information and forthright professional opinions than it is in the police chief executive's oratorical ability, good communications depend upon the police chief executive's ability to express himself clearly and logically. Accordingly, police chief executives should develop personal skills to permit effective delivery of information to the public.

The keys to effective communication are constant effort, application, and practice. Many universities and colleges offer classes and seminars in communication. These provide some of the basic framework. Also, there are many excellent textbooks on communication. Successful speakers, however, say that the real secret to communicating with the public is hard work and enthusiasm for the task.

¹ *Broadcasting Yearbook* (Washington, D.C.: Broadcasting Publishers Inc., 1975), pp. 1 (radio), 85 (TV).

² *Editor and Publisher International Yearbook* (New York: Editor and Publishing Co., Inc., 1975), p. 11.

Although police chief executives should communicate with their community personally, they can delegate some of the work. Police chief executives must employ the talents of competent subordinates in a variety of ways. Some police chief executives assign an employee who has writing talent to prepare, on a part-time basis, written statements and articles for weekly publication in the local newspaper. Other police agencies, especially larger ones, have a police spokesman whose voice can be taped for release on radio news programs.

Police chief executives should communicate with their community in as many ways as possible.

Press Relations Policy

It is to the advantage of police agencies and the media to develop cooperatively written policy on issues of common interest. Police officers and news reporters have an interest in any newsworthy incident that inherently involves the police. When both are interested in the same event for different reasons, their priorities and objectives will differ and some conflict is inevitable. If both the police officer and the newsperson are guided by policy that takes into consideration the interest and obligations of each, conflict will be minimized.

The Police Chief Executive Committee suggests that police chief executives and news media managers establish written policies that acknowledge the responsibilities of the media and the police to protect the interests of the public and the rights of individuals. The policy of each entity should be designed to generate a climate of cooperation. The policy should honor the public's need and right to be aware of current events and the state of government. The policy also must guard against the release of information that is legally privileged, that might prejudice the rights of individuals, or that might interfere with an investigation.

The National Advisory Commission on Criminal Justice Standards and Goals *Police* report emphasized that police agencies need to develop written policy acknowledging the important role of the news media, and that police agencies must be open in their relationships with the news media.³ Additionally, the police should define and publicize police officers' rights and duties in communicating and dealing with the press.

In the questionnaire survey for this Report, police chief executives and superiors indicated who should make statements to the press to inform the public

³ National Advisory Commission on Criminal Justice Standards and Goals, *Police* (Washington, D.C.: Government Printing Office, 1973), Standard 1.7, p. 44.

of newsworthy police activities involving public safety (PCE II #13; Superior #15). The available choices were: any involved officer with knowledge of the specific activity; any employee or employees designated by the police chief executive; the police chief executive's superior; and "other." Respondents could mark one or more of the choices.

The highest percentage (66 percent) of police chief executives favored statements being made to the press by employees designated by the police chief executive. Only 48 percent of the police chief executives from agencies with 1 to 14 personnel favored this method, while 79 percent of the large agency chiefs with 1,000 or more personnel agreed. Understandably, the majority of police chief executives of the smallest agencies preferred that statements to the press be made by the police chief executive.

Fifty percent of the superiors of police chief executives favored statements to the press being made by designated employees. Only 36 percent of the elected superiors, compared with 60 percent of the non-elected superiors favored the release of statements by designated employees. In agencies with fewer than 15 personnel, only 28 percent of the superiors favored statements by designated employees. Over 65 percent of police chief executives and their superiors favored such statements being made by the police chief executive.

Consistently high percentages of both police chief executives and superiors in the Pacific census division indicated that designated employees should make these statements (82 percent and 70 percent respectively), and low percentages of chiefs and superiors in the East South Central census division supported the concept (45 percent and 38 percent respectively). Only 15 percent of police chief executives and 7 percent of their superiors agreed that any involved officer with knowledge of the specific activity should make statements to the press. Three percent of police chief executives and 20 percent of their superiors believed that the police chief executive's superior should inform the press about newsworthy police activities involving public safety.

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Related Standard

The following standard may be applicable in implementing Standard 15:

13 Lawful, Impartial, and Effective Police Service

Standard 16

Regional and National Executive Enrichment and Development for Police Chief Executives

Concerned governments, professional law enforcement organizations, and educational institutions should establish regional and national programs for the intellectual enrichment and development of police chief executives. These programs should be designed to improve police chief executives' personal skills, and to inform them of new legislation, improved techniques, and innovative programs.

Regional programs should serve all police chief executives within a State, portions of a State, or two or more contiguous States. A national program should serve police chief executives who could benefit from a program that offers a wide choice of advanced courses.

Regional and national executive programs should be presented within academic settings such as universities, colleges, and existing academies. The programs should be administered by professional or governmental organizations under the guidance of a committee that includes State, county, and municipal police chief executives. Programs should be scheduled with consideration for police chief executives' obligations to their agencies. Attendance at a regional program should not preclude attendance at the national program. National programs should be funded by the Federal Government, and programs at the regional level should be funded by participating States, except for salary, which should be paid by each executive's agency.

Regional Programs

Every State, individually or in concert with one or more contiguous States, should enact legislation to establish executive programs for police chief executives' enrichment and development. Curriculums and qualifications for enrollment should be established by each State or region. Certificates of achievement should be issued to those who attain specified qualification plateaus within the program.

National Programs

A national executive program should be established to provide advanced instruction in a wide variety of courses for police chief executives' enrichment and development. Curriculums should be developed to meet the needs of participants, with consideration given to the complexity of agency operations. Behavioral sciences and management courses, as they apply to managing a police agency, should be provided.

Commentary

Many occupations and professions require formal education and specialized training. Most professions require or encourage continuing development pro-

grams that the practitioner must complete to continue successfully in the profession. The police service, on the other hand, has only recently imposed qualification and training standards. Virtually no requirements exist for police chief executives.

In the main, police chief executives have acquired sufficient knowledge of their agencies to cope with their work. But specialized programs for continuous development of executive abilities are rare in the American police service. In the past, the demands upon the police leadership in many communities may have been so parochial that continuing development of police chief executives' abilities was an unnecessary luxury. Continuing development of executive abilities is no longer a luxury.

Conditions internal and external to police agencies pose sophisticated problems for small and large agencies alike. Labor/management issues, organized crime, and public disruptions, for example, affect all police agencies. Police chief executives cannot afford only to manage, they must anticipate, plan, prevent, harmonize, and reach sophisticated solutions in areas where conditions and rules are changing rapidly. Rather than merely being reactive, the police must become proactive.

Many jurisdictions assume that police chief executives' administrative abilities automatically grow as their jobs grow and, therefore, traditional practices are maintained, even though traditional practices may no longer be viable. More than ever before, police chief executives must keep pace with the changing management and law enforcement practices.

If the police service is to attain professional status commensurate with its overall responsibility and commitment, its leaders must engage actively in learning programs to achieve and to maintain effective job performance. Appointed and elected police chief executives must be attuned to changing conditions and concepts in order to provide the public with effective law enforcement.

Educational and specialized training programs for police personnel now exist throughout the Nation. Universities, colleges, professional law enforcement organizations, and police agencies at the local, State, and Federal levels, individually and cooperatively are offering outstanding courses, programs, and seminars for police administrators.

These academic and training programs are producing an improved quality of police service. The opportunities for a college education in disciplines pertinent to the police service are available in most areas of the country. Because of this availability, educational standards for the selection of police

personnel are being implemented by police agencies in many parts of the Nation.¹

Despite the enormous value of traditional police management programs, a new dimension in police executive development is sorely needed. Incumbent police chief executives need regional and national executive enrichment programs designed specifically for police service leaders.

In response to the survey conducted for this Report, 82 percent of the police chief executives and 62 percent of the superiors indicated that they agreed or strongly agreed that there is a need for regional or State academies for training new police chief executives (Figure 16.1). Only 10 percent of the chiefs and 17 percent of their superiors disagreed or strongly disagreed with the concept.

Fifty-seven percent of the police chief executives agreed or strongly agreed on the need for a national academy, and 25 percent of that group disagreed or disagreed strongly. The responses of the superiors were split on the value of a national academy for new police chief executives. Only 36 percent responded positively, and 31 percent negatively. Thirty-four percent were uncertain, neither agreeing nor disagreeing with the concept.

The reasons that police chief executives and superiors indicated on their questionnaires that they were not sure if academies were needed were explored in subsequent interviews. The reservations most often expressed by those who were interviewed centered on expenses of the training and the amount of time the police chief executive might be absent from the agency.

There was nearly unanimous agreement among police chief executives interviewed that national and regional academies would be a tremendous benefit to all police chief executives. In fact, police chief executives preferred not to limit the academies to "new" police chief executives. They repeatedly stated that police chief executives need to assemble in academic settings to identify common problems, exchange ideas, and keep abreast of the state of the art.

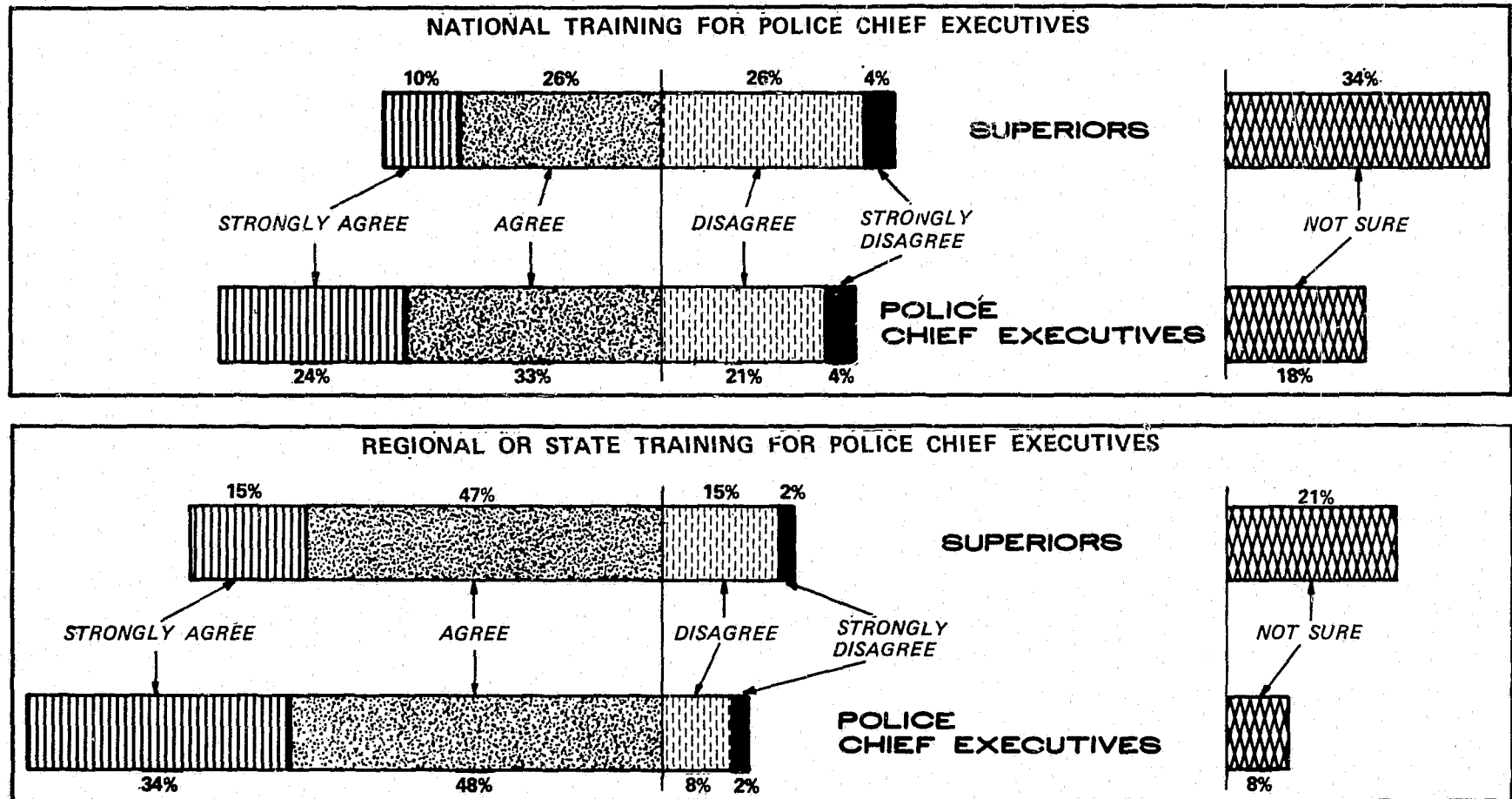
One police chief executive summarized the consensus of those interviewed:

There are no combinations of experience and education that totally prepare a person to be a police chief executive. The chief must contend with issues and interact with governmental officials and other persons on an executive level that is unfamiliar to any police chief executive subordinate, regardless of the subordinate's rank or the size of the agency. In this regard, the police chief executive can only learn from several years of experience in office, if he survives. If police chief executives could get together in academic settings to

¹ National Advisory Commission on Criminal Justice Standards and Goals, *Police* (Washington, D.C.: Government Printing Office) 1973, Standard 15.1, p. 369.

FIGURE 16.1

TRAINING FOR NEW POLICE CHIEF EXECUTIVES



exchange ideas and benefit from each other's experiences, a police chief executive could learn within a few hours those things that sometimes takes years to learn through personal experience, and at tremendous expense.

Interviews also helped clarify the form of executive enrichment and development programs that most interested police chief executives. In the questionnaires, the term "academy" was used to mean a group of people learning together rather than institutional buildings, and was so perceived by responding police chief executives. The chiefs desire programs that go beyond the fundamentals of management training. The programs should allow police chief executives to discuss and to set into motion solutions germane to important current and potential police administrative and operational problems that are common to police agencies of all sizes.

Such programs should be designed to enable police chief executives to deal with social as well as organizational demands. These programs, offered in an academic setting, should get police chief executives together in an institute-like environment to remain informed on parochial as well as widespread crime, social, and administrative issues.

Police chief executives could benefit through discussions of such areas as: short- and long-range planning; developing a sound fiscal department budget; the feasible acquisition as well as the utilization of resources; personnel allocation and management; employee labor unions and collective bargaining; employee rights; current changes in criminal law; improving the criminal justice system; and effective application of new and innovative law enforcement techniques.

In his book, *Management: Tasks, Responsibilities, Practices*, Dr. Peter Drucker draws a distinction between the tasks of the top managers and other managers when he states:

Top-management tasks differ fundamentally from the tasks of the other management groups. They are multidimensional. They are recurrent but intermittent. They make different and often conflicting demands on personality and temperament. There is, therefore, need so to structure the top-management job that both the objective tasks to be accomplished and the personalities of the people available are taken care of. And there is need for providing top management with the stimulation and information it needs for its specific tasks.²

It is within this context that executive enrichment and development programs for police chief executives need to be provided on the national level and regional or State levels. Progress has been made in this direction, but much more needs to be done.

² Peter F. Drucker, *Management: Tasks, Responsibilities, Practices* (New York: Harper & Row, 1974), p. 610.

Academic Environment

Regional and national programs should take place in locations conducive to scholastic achievement; to the discussion and resolution of important matters affecting local, county, and State law enforcement; and to the development of managerial expertise. The location of regional programs should be central and accessible to persons from throughout the region. Regional academic programs should be presented in such institutional settings as colleges, universities, and existing academies, because these locations generally offer an abundance of physical amenities such as classrooms, parking, and housing.

Program Administration

Regional and national programs should be administered under the guidance of committees that include police practitioners at various levels of government. At the regional level, such a guidance committee may consist in part or wholly of existing standards and training commission members.

National academic programs should be funded by the Federal Government, through budget allocations for programs administered by governmental organizations and through discretionary grants for programs administered by professional organizations. Regional academic programs should be funded by States, or jointly through State and local fiscal appropriations, with Federal grants-in-aid where necessary. Salaries of the enrollees while attending either program should be paid by the employing jurisdictions.

Curriculums and Scheduling

Executive enrichment and development programs should be designed to fit the needs of police chief executive participants. The curriculums should be established under the guidance of a committee that includes State, county, and municipal police chief executives. Specific courses of study may include principles and practices of administrative behavior, fiscal and budgetary management, the allocation of manpower resources, behavioral sciences, law, and the art of communication.

Programs should be scheduled to prevent extended absence of police chief executives from their offices. Multiphase programs that permit periodic attendance may be advantageous in some regions. Take-home assignments for police chief executives should be included in the curriculum format in order to extend the learning experience.

In order to serve the needs of police chief executives, the chiefs should provide input to the curriculums' design and scheduling. This input may be

gathered from questionnaires or interviews. Also attendees should be asked to evaluate the course with a view toward constant program improvement.

Existing Executive Programs for the Police Service

Progressive educators, police administrators, professional law enforcement associations, the Federal Bureau of Investigation, and the Law Enforcement Assistance Administration (LEAA) have already instituted or are planning promising executive development institutes at the national and State levels.

The Police Chief Executive Committee urges continued and hastened development at both levels. Funding authorities at every level of government should assign high priority to supporting executive enrichment and development programs for police chief executives.

The National Level. An executive enrichment and development program specifically designed for police chief executives is the National Sheriffs' Institute, located on the campus of the University of Southern California and funded under a grant from LEAA. That institute provides 2 weeks of management training seminars for newly elected sheriffs. The course is designed to improve the management, supervisory, and administrative knowledge and skills of key law enforcement executives. Under the direction of the National Sheriffs' Association in Washington, D.C., the institute includes such subjects as principles of public administration, organization and staffing, community crime prevention, program evaluation, finance and fiscal management, decision-making, labor relations, the criminal justice system, and correctional administration. Executive role-playing and executive simulation and gaming are utilized. In addition, lectures and seminars are presented by highly qualified administrators and practitioners.

Travel and other related expenses are paid by the institute, but salary is paid by the employing jurisdictions. A certificate of completion is awarded to each person jointly by the National Sheriffs' Association and the University of Southern California.

The Federal Bureau of Investigation's National Academy has a 40-year tradition of excellence and accomplishment in raising the standard and proficiency of law enforcement at all levels. Each year, 1,000 State, county, and local law enforcement officers attend the FBI National Academy course at Quantico, Va. The academy annually offers four 11-week sessions of advanced professional law enforcement instruction. Candidates for the Naval Academy sessions must be promising career officers with unblemished backgrounds who can be expected to benefit most, both in terms of their own perform-

ance and that of their fellow officers. Candidates are chosen without regard to race, creed, color, sex, or national origin.

As stated in the FBI Law Enforcement Bulletin:

The academic curriculum is composed of courses relating to management science, behavioral science, law, education and communication arts, and forensic science. Through affiliation with the University of Virginia, up to 16 hours of undergraduate credit can be earned. For officers who qualify, an opportunity exists for taking a total of 9 graduate credit hours in selected disciplines. Overall, a minimum of 14 semester hours of academic work is required. Each student may elect to take an additional 1 or 2 semester hours in a variety of electives offered, such as budgeting for law enforcement, police unions, instructional technology, legal research, and others.³

The impact of the FBI National Academy on all levels of police service is reflected in the number of its graduates who are still active in law enforcement. As of September 1975, out of 5,822 active graduates, 1,082 were heads of law enforcement agencies, including 809 chiefs of police, 158 sheriffs, and seven heads of State law enforcement agencies.

The FBI is now in the process of developing an executive development program specifically designed for police chief executives. This new endeavor is heartily endorsed by the Police Chief Executive Committee.

The State and Regional Level. The Pennsylvania Police Executive Development Program (POLEX) provides an educational experience designed to enhance police leadership potential. Initiated in March 1971 with LEAA funding, the program originally provided executive development courses for senior police personnel in Pennsylvania. It has since opened enrollment to similar personnel in surrounding States.

The program is designed to enhance the leadership potential of police management personnel through a series of 160-hour, 4-week executive development programs. Participants are recruited from a diverse group and have included chiefs of small agencies, and captains, lieutenants, and sergeants from the larger agencies. The diversity of participants and the live-in atmosphere facilitate the interchange of ideas from one police manager to another.

The curriculum objectives are planned to promote and reinforce initiative, self-confidence, and decision-making skills. Lectures, strategy games, group projects, and individual assignments are designed to expand each participant's perspective. A high priority of POLEX is "the development of the whole individual executive, to strengthen internal (personal)

³ "FBI National Academy—A 40-Year Tradition of Excellence and Accomplishment," *FBI Law Enforcement Bulletin*, July 1975, p. 19.

resources, so as to bolster leadership (social) qualities.”⁴

Pennsylvania State University is planning an executive development program designed specifically for the heads of police agencies in the State of Pennsylvania. If this program is established, its potential as a model for other States and regions should be assessed.

Other executive courses—international, national, and local—offer learning experiences that can be valuable to police chief executives. Some business schools provide excellent opportunities for executive enrichment and development. The Graduate School of Business Administration at the University of Southern California offers a monthlong, live-in Summer Executive Program every August. Vice presidents and other executive personnel from large and small corporations throughout the world, and a police official from a large agency, attend. Other universities offer similar courses.

⁴ Charles L. Newman and Barbara R. Price, “Police Executive Development: An Educational Program at the Pennsylvania State University,” *The Police Chief*, April 1974, p. 75.

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5. *The Police College Bramshill*. Brochure printed for Her Majesty’s Stationery Office. Westerham, Kent, England: Westerham Press, Ltd., 1973.
6. *The Police College Magazine*. Basingstroke, Hants, England: Bramshill House, Vol. 12, No. 1.

Related Standard

The following standard may be applicable in implementing Standard 16:

- 4 Certification of Police Chief Executive Candidates

Standard 17

Assessing the Performance of Police Chief Executives

Every immediate superior should assess the effectiveness of the police chief executive in leading the police agency toward the accomplishment of agency objectives. The performance assessment should be based upon valid indicators of the police chief executive's ability to provide lawful, equitable, and effective police service.

Every immediate superior should evaluate the effectiveness of the police chief executive in utilizing agency, community, and governmental resources to provide the services for which the agency is responsible. The immediate superior should evaluate, as indicators of performance: the quality of agency personnel performance; personal conduct of the police chief executive; and community opinion of police operations. Internal discipline and the level of crime may also be indicators of performance.

Every immediate superior should apprise, in writing, the police chief executive of the specific assessment criteria prior to commencement of the assessment period.

Every immediate superior at least annually should discuss the performance of the police chief executive and of the agency with the police chief executive, and provide a written evaluation of his performance. Every police chief executive should be given the opportunity to respond to the superior's assessment.

Commentary

The police service as an institution cannot be assessed as easily as a baseball team or a retail store, nor can the police chief executive be assessed as easily as the coach of a team or the manager of a retail outlet. The police service cannot be measured by wins and losses or the profit from selling goods.

There are, however, ways to evaluate the effectiveness of a police chief executive in police agency leadership. It is the effectiveness of the police agency in doing what it is supposed to do that finally counts.

The efficiency of Traffic Officer Smith should be measured not by the number of traffic citations written, but by the degree to which his efforts facilitate an uninterrupted flow of traffic and an absence of traffic accidents on his beat. The efficiency of a police employee in lifting a latent print is not as important as solving the related crime and preventing others. The efficiency of the police chief in making speeches should not be directed toward oratorical acclaim, but toward achieving the objectives of the police agency.

Doing the right things efficiently is important. But it is the effectiveness in accomplishing the larger objectives that counts in the final analysis. Police chief executives should be evaluated on their effectiveness in achieving the objectives of the agency. That is the bottom line of the police balance sheet.

Assessment Criteria

Police agencies perform many functions. Some functions are important because they help achieve agency objectives. Others are remote from agency objectives and are relatively unimportant. Police executives also perform many functions, some of which are more important than others. Police agencies and police chief executives should be assessed on their effectiveness in doing the things that are important in achieving agency objectives. Effectiveness in utilizing agency, community, and governmental resources to provide important services should be considered in developing assessment criteria.

Police chief executives are concerned with factors that influence their superiors' appraisal of them. Chiefs and their superiors were asked which of 10 factors frequently influenced superiors' appraisal of their police chief executive, and which of those factors was most influential. There was less agreement between police chief executives and their superiors on these questions than on any of the other 15 questions asked of both groups (PCE I #10, Superior #18).

Sixty-six percent of police chief executives indicated that community opinion frequently influenced an immediate superior's appraisal of them, and 63 percent indicated that their personal conduct frequently was influential. More police chief executives thought that these two factors frequently influenced a superior's appraisal than thought any other of the 10 possible factors were influential (Figure 17.1).

Both police chief executives and superiors were asked which of the 10 factors was most influential in a superior's appraisal. Thirty-two percent of all police chief executives indicated that community opinion was the most influential factor. More chiefs believed that community opinion was the most influential factor than thought any of the other 10 factors were most influential (Figure 17.2).

Sixty-nine percent of the superiors indicated that the quality of agency personnel performance was the most influential factor in their assessment. Many more superiors thought this factor was the most influential than thought any of the other factors were most influential. Police chief executives seemed to agree with the majority of superiors. They were asked which factor should be most influential: The largest number of chiefs (49 percent) indicated that personnel performance should be the most influential factor in a superior's assessment (Figure 17.2).

The most notable differences between the two groups were in their opinions on the influence of police personnel performance and internal discipline. Eighty-eight percent of the superiors indicated that the former frequently influenced an assessment, com-

pared with 58 percent of the police chief executives. Sixty-five percent of the superiors indicated that internal discipline frequently influenced an appraisal, compared with 40 percent of the police chief executives (PCE I #10, Superior #18).

Those apparent differences in opinion can be questioned in light of the responses to a related question. Police chief executives were asked to choose the factor that should be most influential: Forty-nine percent indicated personnel performance; 16 percent, personal conduct of police chief executives; and 10 percent, community opinion. More police chief executives chose these three factors than chose any of the other factors. Superiors seemed to agree with the chiefs about these three factors. They were asked which factor was most influential: Sixty-nine percent chose personnel performance; 9 percent, personal conduct of police chief executives; and 5 percent, community opinion. Both groups recognized the influence of personnel performance as an assessment factor over any of the other factors (Figure 17.2).

This commentary discusses assessment considerations, with emphasis on those appraisal factors that were selected as most influential by police chief executives and superiors. Special emphasis is given to quality of personnel performance primarily because, as Figure 17.1 indicates, both groups heavily favored that factor as being the most critical in evaluating the efficiency of a police chief executive.

Quality of Personnel Performance

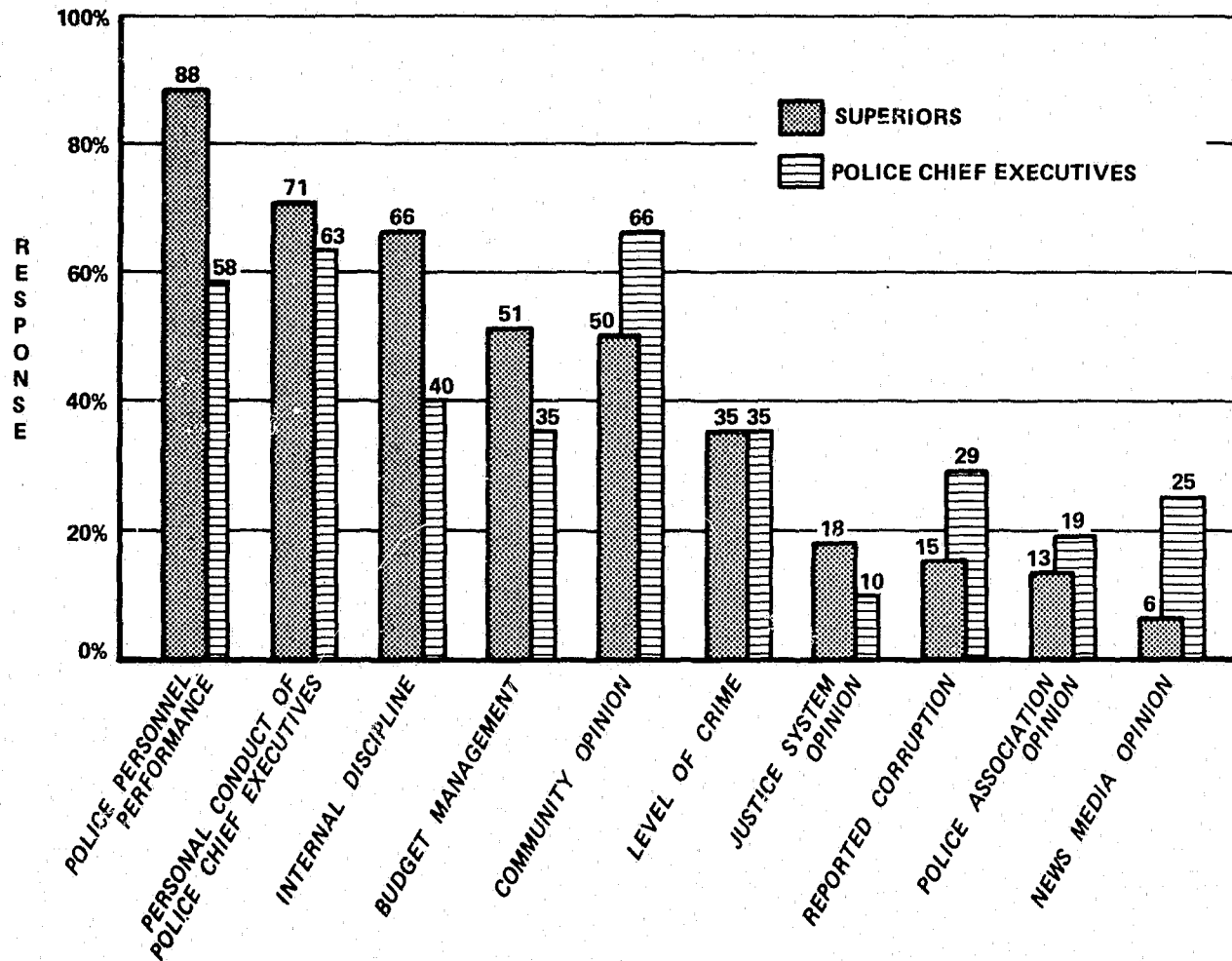
Most of the superiors indicated that the quality of personnel performance is the most influential factor in their appraisal of police chief executives (Superior #18). The logic of this is apparent. The provision of an efficient police service is primarily dependent upon the personnel, and the quality of their performance is a direct reflection of the leadership afforded by the police chief executive. In assessing a police chief executive, the quality of personnel performance should be measured in terms of lawful, equitable, and effective police service. Each of these indicators is an accurate criterion for performance assessment.

In providing lawful police service, it should be universally understood that statutory law is the basic tool of the police service, and together with court decisions, it provides parameters for police discretionary powers. To ensure that agency personnel are cognizant of the most recent legislative and judicial decisions, some police chief executives have adopted various types of legal education programs.

A number of police agencies use legal training material from the International Association of Chiefs of Police, their State attorneys general, or the local prosecutor's office to keep their personnel abreast of

FIGURE 17.1

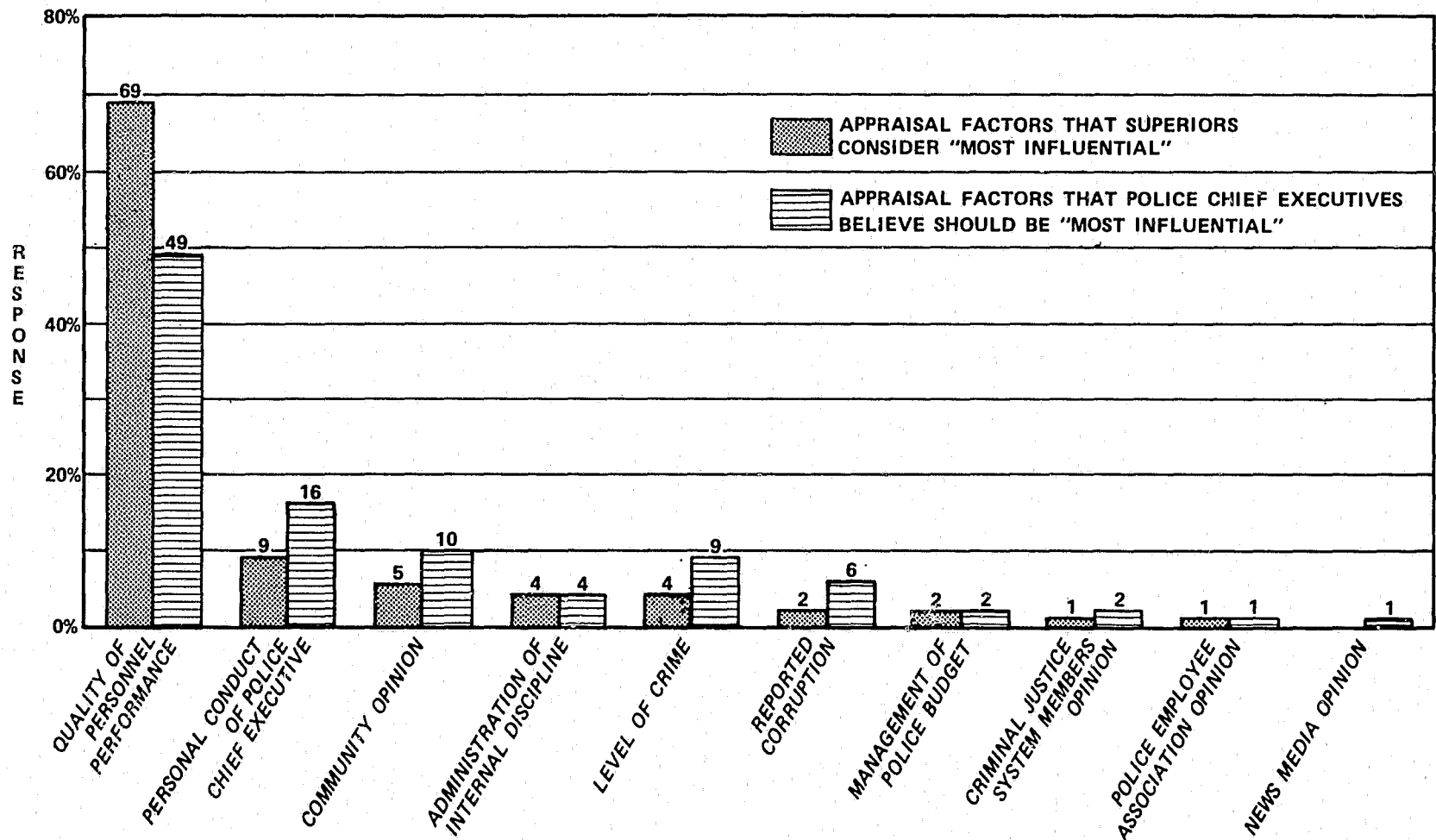
FACTORS WHICH INFLUENCE ASSESSMENT OF POLICE CHIEF EXECUTIVES



Police chief executives and their superiors responded to a question about the influence of various appraisal factors in the assessment of a police chief executive. Police chief executives showed greater concern for community and news media opinion than did their superiors.

FIGURE 17.2

FACTORS IN THE ASSESSMENT OF POLICE CHIEF EXECUTIVES



Police chief executives and their superiors responded to several survey questions on the importance of various appraisal factors in the assessment of a police chief executive. Both groups strongly agreed that personnel performance is, or should be, the most influential appraisal factor.

legal matters. Specialized legal units in some police agencies also provide training material. In recent years, the need for legal training has been underscored by an increase in the number of lawsuits filed against police officers. A positive legal education program can curtail the incidence of civil rights suits, and improve the quality of police service.

In evaluating a police chief executive on the quality of personnel performance, adherence to the law is an important consideration. Personnel complaints and legal actions may be indicators of adherence to the law, and training programs as well as the use of legal advisors can be indicators of police responsiveness to increased complaints or actions.

Assessment of the quality of personnel performance requires that the superior look at deployment practices. Human resources are expensive in any service institution. Personnel costs account for 85 to 95 percent of most police agency budgets. The wise use of personnel is extremely critical to the success of a police agency.

Deployment according to the need for police service implies that agency employees are assigned to perform the right tasks at the right time and location to achieve agency objectives. There are a number of good police administration texts that cover the basic philosophy of proper deployment. Improper deployment is wasteful.

Personnel placement is also an important consideration. Proper placement of personnel demands the efficient utilization of individual talents. Each job within the agency should be carefully analyzed. Job assignments should be made according to aptitude and interest. Assignments, including promotions, should be predicated upon the employees' total qualifications rather than such factors as seniority, personal acquaintances, and isolated incidents of conspicuous heroism.

Personal Conduct of the Police Chief Executive

Personal Conduct was a factor that 71 percent of the superiors and 63 percent of the police chief executives indicated influenced an immediate superior's appraisal of his police chief executive (PCE I #10, Superior #18). With both groups, personal conduct received the second highest percentage, thereby giving it great importance as a factor that influenced the superior's appraisal (Figure 17.1).

Personal conduct, for purposes of appraisal, can be defined as any overt act, on or off duty, that reflects favorably or unfavorably upon the police agency or the political jurisdiction. A police chief executive's personality, management style, professional demeanor, and personal deportment all affect his ability to lead a police agency successfully. The

personal characteristics found in Figure 2.1 (Standard 2) apply to this concept. Additionally, the effectiveness in performing the management tasks described in Figure 2.3 (Standard 2) should be assessed.

Police chief executives live in the public eye. They are subject to criticism if their personal deportment strays from the public's image of them. The opinions reflected in survey results are not idealistic—they are pragmatic. The personal conduct of police chief executives is important to the community. Immediate superiors honestly indicated its importance, and police chief executives correctly perceived the importance superiors gave it.

Community Opinion

More police chief executives indicated that community opinion frequently influenced a superior's appraisal than indicated any other factor was a frequent influence (PCE I #10). Unpredictably, fewer elected police chief executives than nonelected executives believed community opinion was frequently an influence. Although State chiefs are geographically more remote from the people than municipal police chiefs or sheriffs, more heads of State police agencies than members of any other executive group chose community opinion as a frequent influence. Every police chief executive group gave community opinion a position of importance: More than 60 percent of police chiefs, sheriffs, and State police directors believed that community opinion was a frequent influence in a superior's appraisal of his police chief executive. Because the majority of police chief executives indicated community opinion is an important influence, it can be concluded that police chief executives are more responsive to their communities than commonly is believed.

Although many superiors are influenced by community opinion when rating their police chief executives, more of them are influenced by other factors. More police chief executives chose community opinion as a frequent influence than chose any other factor, but their superiors chose four other factors as being more influential than community opinion (Figure 17.1). Almost 50 percent of both elected and nonelected superiors, however, indicated that community opinion frequently influenced their appraisal.

Police chief executives should be assessed on their community interests, and their efforts to involve citizens in preventing crime and maintaining peace and order. Superiors should look to the community's interest and participation in crime prevention programs as indicators of support of the police agency and its top manager.

To gauge public opinion, some of the larger police agencies periodically conduct surveys to determine the community's attitude toward its police agency and the service being rendered. Surveys are more reliable as indicators of community opinion than are the words of some community leaders who may be self-appointed. The survey method, however, is not widely supported by police chief executives as a method for finding out about internal problems (PCE II #15).

The importance of community involvement with the police agency was recognized by superiors and police chief executives when they rated the importance of 14 management skills a police chief executive should possess (Figure 2.3, Standard 2). Both groups indicated that relating to the community is an extremely important management skill for police chief executives and the summarized data from both groups gave it the third highest rating of the 14 skills (PCE II #5, Superior #11).

Other Factors

A remarkable difference exists between superiors' and police chief executives' opinions of internal discipline as an assessment factor. Although only 40 percent of the police chief executives thought the administration of internal discipline influenced a superior's assessment, 66 percent of the superiors said it was frequently a factor (PCE #10, Superior #18).

Despite the seemingly great differences in opinion, in responses to related questions both groups agreed in the final analysis. Only 6 percent of police chief executives said internal discipline was most influential, and 4 percent of them said that it should be most influential (PCE I #10). Interestingly, 4 percent of the superiors said it was most influential (Superior #18).

Police chief executives and superiors did not agree about the influence of the opinion of the news media on a superior's appraisal. Police chief executives show greater concern for news media opinion as an influence on their assessment than do their superiors. Twenty-five percent of the police chief executives indicated that it frequently affects their superior's assessment compared with 6 percent of the superiors. Only 5 percent of the chiefs considered news media opinion the most influential factor, however, and 1 percent indicated that it should be most important. In the more than 800 questionnaires returned by superiors, none said the news media was the most important factor in influencing their assessment of the police chief executive (PCE I #10, Superior #18).

Comparing the severity of problems (Figure 12.1, Standard 12) with appraisal factors (Figures 17.1 and 17.2) shows some interesting facts regarding the

importance of the police budget. Police chief executives indicated that the agency budget was one of the more serious problems confronting them (PCE I #5). On the other hand, only 35 percent of the police chief executives reported that management of the police budget (PCE I #10) frequently influenced the assessment of the police chief executive's performance, compared with 51 percent of the superiors (Superior #18). Only 2 percent of the chiefs thought it should be the most influential assessment factor, and 2 percent of the superiors indicated that budget management is the most influential factor in their assessments.

A realistic assessment of police chief executives will take into consideration the efficiency with which they utilize their budgets. Superiors know that the budget is a vital but limited resource and, because it is limited, it has a commensurately limiting effect on accomplishments.

Assessment Process

Superiors of nonelected police chief executives spend from 1 percent to 100 percent of their time in police agency related activities. The average of such time was 19 percent (Superior #19).

Elected superiors spent more time overseeing the police agency than nonelected superiors. Elected officials stated that they spent a mean average (arithmetic mean) of 20 percent of their time in relation to the activities of the police agency, and nonelected officials spent 18 percent of their time—a close correlation. The data divided into quartiles, however, reveal that the middle 50 percent of elected superiors spend between 10 and 25 percent of their time in relation to police activities, and the middle 50 percent of nonelected superiors spend from 8 to 20 percent of their time on police matters (Table 13.1, Standard 13). The most remarkable statistic, however, is the fact that nonelected superiors in agencies of 1,000 or more personnel spend 50 percent of their time in such activities, while elected superiors of large agencies spend only 6 percent of their time in this manner. This was the largest variance between agencies of comparable size (Superior #19).

The amount of time spent overseeing the police agency indicates that the average superior has some knowledge of the capabilities, attitudes, and working habits of his police chief executive. Superiors should also be familiar with some agency problems and the manner in which those problems are resolved. Most superiors have sufficient knowledge about the effectiveness of their police chief executive to permit a good appraisal.

The frequency of evaluation varies, but most formal and recorded evaluations are completed on an

annual basis. Biannual evaluations are believed by some to be more accurate and effective than annual ones because they make employees more conscious of the process and, therefore, more accountable. It is not unusual for probationary employees to be assessed monthly.

Formal Review of Assessment

In order to maximize the benefits derived from the assessment process, every superior who completes a written performance evaluation on a police chief executive should personally review the assessment with the executive and give him a copy of the report. During interviews, most superiors agreed that the review process is just as important, if not more so, as the actual completion of the performance rating.

Formalizing the performance review process has several major benefits. It upgrades the significance of the assessment. The transmission of a service rating through the mail or by another individual is generally conceded to be poor procedure, because it diminishes the influence of the evaluation.

A formal review process also provides a logical forum from which to discuss the recent performance of the police agency and its management. In order to promote constructive dialogue, the police chief executive should be permitted to respond to the issues raised by the superior's assessment. In this respect, the superior and the police chief executive can utilize the opportunity to reaffirm authorities, accountability, and other commitments made during preemployment discussions.

Another advantage of formal performance review is the emphasis it places on a police chief executive's accountability for agency operations. In jurisdictions where merit pay is keyed to definite performance

standards, a board or city council may also examine the superior's assessment of the police chief executive. This type of formal review tends to promote a high level of responsibility for the quality of police service.

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Related Standards

The following standards may be applicable in implementing Standard 17:

- 7 Compensation for Police Chief Executives
- 8 A Clear and Mutual Understanding
- 11 Establish and Communicate Objectives and Priorities
- 13 Lawful, Impartial, and Effective Police Service
- 18 Administrative Due Process

Standard 18

Administrative Due Process

Every governing body whose administrative jurisdiction includes the provision of police service should enact legislation that provides for administrative due process methods to discipline police chief executives for cause and to protect them from arbitrary or unjustified termination.

The procedure should require that charges of improper conduct or performance be specific and in writing. Such charges should be based upon some act of commission or omission and the charges should be filed within a specified period of time following the act. Charges based upon offenses that inherently disqualify a police chief executive from holding office should be filed within a specified period of time following discovery of the act.

The charges should be heard by an administrative tribunal composed of persons within the government structure, and/or persons selected from police executive or private professional organizations, in a manner that is acceptable both to the concerned governmental authority and to the accused. All persons who compose such a tribunal should have the capacity to hear and adjudicate administrative charges relative to professional competence. Individuals who originate or endorse the charges should be excluded from membership on a tribunal.

Testimony relevant to each charge should be taken under oath in a proceeding open to the public. The accused should have the right to counsel of his choos-

ing, to subpoena persons and items of evidence, to present witnesses in his behalf, and to cross-examine.

The tribunal should seek facts to determine the truth and ascertain if a preponderance of evidence exists to substantiate each charge. The tribunal should make a finding that the accused police chief executive is either guilty or not guilty of each administrative charge.

Upon a finding of guilt, the tribunal should determine if a penalty is appropriate. If appropriate, such penalty should be recommended by the tribunal. Penalties may range from a reprimand to removal from office.

The tribunal should cause the records of the proceeding to reflect its analysis of evidence that led to its finding. The records should reflect the tribunal's justification for any recommended penalty.

A separate authority, superior to the police chief executive in the governing body's chain of command, should review the findings and affirm, reduce, or vacate the penalty recommended by the administrative tribunal.

Every penalty imposed should be subject to appeal by the accused, in an appropriate court of law.

Commentary

There have been numerous incidents where incoming mayors, city managers, or other superiors to

police chief executives summarily have fired incumbent police chief executives. Sometimes specific reasons were given for the dismissal, but often only general reasons were given. During the interview phase of this study, incidents were reported in which elected superiors summarily fired their police chief executives in fulfillment of promises to persons who contributed campaign funds under the condition that if elected, the new superior would fire the police chief. When dismissed, some police chief executives simply are told that they are doing a fine job, but it is time for a change.

Even when reasons for dismissal are given, they often are vague. Interviews revealed that the following reasons have been used recently: "too popular with the troops," "too unpopular with the men," "too responsive to citizen demands," "not responsive to citizens," "too outspoken," or "too sedentary." This list is not exhaustive. In each instance, there may have been sufficient reason to terminate the police chief executive, but it was not made clear. It is impossible to guess why a police executive was terminated if he was told during a curt dismissal ceremony that, "You have been doing a good job."

The public, the police chief executive, and agency personnel should not have to guess the reasons for the termination of a police chief executive. They all have a right to know. They should have confidence that actions taken by governing bodies regarding public safety are based upon substantiated and documented facts. Only then can the public assess the qualities of all its servants, including the accused and the accusers.

In interviews, police chief executives from several jurisdictions reported that summary dismissals of police chief executives have been challenged in the courts. The court decisions have not been unanimous, but several courts reportedly have held that the police chief executive position is a property right of which the incumbent may not be deprived arbitrarily or without a showing of cause.

The Police Chief Executive Committee strongly endorses that legal concept and urges that it be enacted into law by every State and local jurisdiction. Every governing body whose administrative jurisdiction includes the provision of police service should enact legislation that provides for administrative due process methods to discipline police chief executives for cause and to protect them from arbitrary or unjustified termination.

This is not to suggest that any police chief executive should be locked into position. On the contrary, all police chief executives should be held accountable for their personal and their agency's performances. Police chief executives who are incompetent, malfeasant, misfeasant, or otherwise disqualified to re-

main in office should be disciplined appropriately. The appropriate discipline may be removal from office. Such disciplinary measures, however, should be based upon facts substantiated through a formal process. They must not be based on rumor, supposition, political expediency, or the impetuous or indiscreet unilateral action of one person.

Yet, nearly one-half of the police chief executives throughout the country are not assured that fundamental fairness will be exercised in resolving the most critical issue they are apt to encounter—the issue of professional survival. Only 58 percent of the police chief executives reported having the protection of some form of due process whereby their removal from office must be for cause (PCE I #9). As a group, fewer heads of State agencies were protected, with only 38 percent of them having provisions for due process compared to 58 percent of the municipal police chiefs and 57 percent of the sheriffs.

Eighty-four percent of all police chief executives reported that lack of protection from arbitrary and unjustified removal either affected or would affect their capabilities to fulfill their responsibilities objectively and independently (PCE I #9). Certainly, police chief executives must be able to fulfill objectively and independently the responsibilities of their offices if they are to serve the public well. Arbitrary and summary dismissal of police chief executives is not in the public interest.

Need for Administrative Due Process

One police chief executive summed up the need for administrative due process:

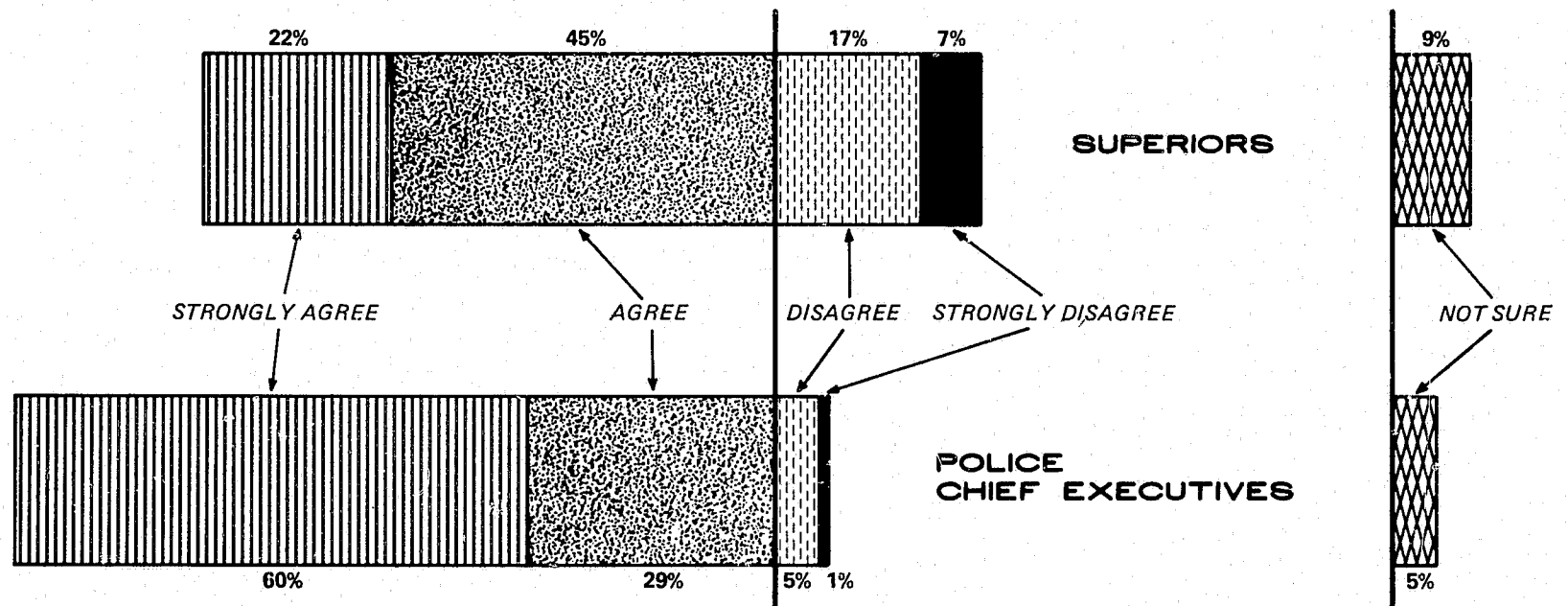
Politicians, and appointees who serve at their pleasure, of necessity position their surfboard at the crest of every new wave of popular appeal. When one wave diminishes, they paddle out and look for the next one. A chief law enforcement officer must be insulated in some fashion from politics, or the enforcement policies will be pulled up and down like a yo-yo depending on what enforcement will do or not do for a politician. The people are entitled to an even and reasonable and necessary enforcement of legal statutes. This policy should be divorced as far as possible from the exigencies of current political mores and sentiments.

The chief's summation was echoed by the responses of police chief executives and superiors to pertinent survey questions (PCE II #10, Superior #13). Police chief executives and superiors were asked to indicate their agreement or disagreement with the suggestion that police chief executives should have protection from arbitrary removal by provision for hearings, removal for cause only, or other reasonable due process methods (Figure 18.1).

A majority of both groups supported the suggestion, with 89 percent of the police chief executives

FIGURE 18.1

DUE PROCESS FOR POLICE CHIEF EXECUTIVES



Police chief executives should have protection from arbitrary removal by provisions for hearings, removal for cause only, or other reasonable due process methods. Sixty-seven percent of the superiors and 89 percent of the police chief executives agreed with the due process concept.

either agreeing or strongly agreeing, compared with 67 percent of the superiors. Comparison of police chief executive responses by census division disclosed consistently high percentages of support for due process throughout the Nation. The highest percentage of positive responses came from police chief executives in the New England States, with 93 percent of them either agreeing or strongly agreeing. The percentage of positive responses from the police chief executives in the East North Central States, although high, was the lowest relative to the other census divisions—86 percent agreed or strongly agreed. An analysis of police chief executive responses by type and size of agencies also revealed uniformly high percentages of support for the due process concept.

Upon reviewing the responses of superiors by census division, it was noted that variations in the percentages of positive responses were greater than the variations in the police chief executives' percentages of positive responses. A smaller percentage of superiors in the Pacific States responded positively than did superiors from any other census division: 50 percent of them either agreed or strongly agreed, and 31 percent disagreed or strongly disagreed. As with the police chief executives, the highest percentage of positive responses came from superiors in the New England States: 83 percent of them approved the concept.

A higher percentage of elected superiors than of nonelected superiors agreed or strongly agreed with the due process concept, except in jurisdictions with 1,000 or more police personnel. In those large jurisdictions, only 25 percent of the elected superiors agreed or strongly agreed, but 65 percent of the nonelected superiors agreed or strongly agreed with the need for protection against arbitrary removal. Generally, a higher percentage of superiors of small police agencies than of large agencies support the concept.

Although due process measures should insulate police chief executives from political manipulations, they must be formulated and exercised to ensure that police chief executives remain responsive and accountable to lawfully constituted authorities. Responses to additional survey questions indicate that this is what the police chief executives desire and what the superiors are most willing to support.

A majority of the police chief executives (59 percent) believed that police chief executives should be required to complete a probationary period satisfactorily before they may be given a tenured appointment protected by due process (PCE II #3). Also, 70 percent of them agreed that the immediate superior should take some active role, other than exercising total authority, in any termination proceedings

against the subordinate police chief executive (PCE II #11). In response to the same question, 56 percent of the superiors indicated that superiors should play some role in the termination of police chief executives other than exercising total responsibility (Superior #17).

The Elements of Administrative Due Process

John M. Pfiffner has described "administrative law" as a body of sublegislation, adjudication, and procedures that includes the following elements:

1. The constitutions, statutes, compacts, charters, ordinances, and resolutions defining the powers and duties of administrative agencies.
2. The rules and regulations made by administrative agencies.
3. The decisions, directives, and orders issued by administrative officers.
4. The investigations and hearings conducted by such officers.
5. The judicial decisions and precedents relating to all of the foregoing.¹

It is within the context of those elements that the interests of the public, the employing agency, and the police chief executive should be safeguarded through the exercise of administrative due process.

Administrative due process methods can be viewed as formal procedures designed to protect the integrity of the jurisdiction's law enforcement organization as well as to protect or to remove police chief executives.

Administrative due process guarantees that a fundamental fairness will underlie whatever procedures a jurisdiction adopts to grant the police chief executive protection from unjustified termination and to provide a means for disciplining the errant police chief executive. The essence of the concept of administrative due process is fair play. It has two major aspects: procedural and substantive.

Procedural Aspect of Due Process

The characteristics of the proceedings that may be used to deprive the police chief executive of the position constitute the procedural aspects of due process. Police chief executives must be permitted to offer a public defense against official charges that threaten their positions in office. Procedurally, the individual is entitled to notice of charges, to a full and impartial hearing, to subpoena persons and items of evidence, to present and cross-examine witnesses, and to be represented by counsel of his choosing.

The charges must be written in clear and unam-

¹ John M. Pfiffner, *Public Administration* (New York: Ronald Press, 1960), p. 425.

biguous language. The more specific the charges, the better. They should include a description of each alleged offense as well as the date, time, and location of occurrence. Each charge must convey to the accused police chief executive the precise activity with which he is charged so that he may prepare a defense if he chooses. The accused must be given notice of the specific charges with sufficient time to enable him to prepare a defense. Generally, this requirement may be satisfied by providing the police chief executive with a copy of the charges at least 10 days before a hearing convenes.

Charges of misconduct should be based upon some act committed or omitted by the police chief executive and should be filed within a specified period of time following the commission or discovery of the act.

Most significant activities of police chief executives are conducted openly and may be evaluated immediately by their superiors and by the public. If a charge of misconduct is considered in relation to an action of this type, the charge should be filed within a specified time after the commission or omission.

Other offenses, such as the improper utilization of public funds or corrupt practices, easily may be concealed for extended periods of time. This category of offenses is the most damaging to the public and to the police service. Because such offenses are so severe and are easy to conceal, the time limit for filing charges should begin from the moment of discovery of the act. The statute of limitations for any charge that, if proved, would disqualify the police chief executive from holding office, should commence upon discovery of the actions.

Whether the filing period begins at the time of commission or at the time of discovery, there should be a specified time within which charges must be filed—generally, 1 year is sufficient. Penal and other regulatory codes of every State have examples of limitation statutes that could serve as models for administrative due process procedures.

Administrative charges of misconduct are separate and distinct from criminal charges although both may emanate from the same act. Many jurisdictions are governed by legislative acts that hold that commission of a felony or certain misdemeanors disqualifies a person from holding public office, including that of peace officer. Convictions of these crimes may support a subsequent administrative charge of being disqualified by law to hold office. Acts of administrative misconduct that also constitute a criminal offense may be processed simultaneously but separately on administrative and criminal charges. Finally, there may be classifications of serious administrative misconduct, such as gross incompetence, that are not necessarily criminal in nature.

Substantive Aspect of Due Process

The criteria for what constitutes chargeable offenses of misconduct must be established. It is the fundamental element that is necessary to satisfy due process requirements in an administrative hearing when the interest involved is regarded as a substantive right. It is this requirement of administrative hearings that ties the proceedings to the 14th Amendment, which says that no State shall "deprive any person of life, liberty, or property, without due process of law."

In keeping with the substantive aspect of due process, the types of conduct for which a police chief executive may be disciplined should be defined and included in the legislation. An example of codified causes for discipline is found in Title 2, Division 5 of the *Government Code* of the State of California.² Although this portion of the code pertains to civil service employees of the State, it could serve as a model for police chief executives. Section 19572 states:

Each of the following constitutes cause for discipline of an employee or person whose name appears on any employment list:

- (a) Fraud in securing appointment.
- (b) Incompetency.
- (c) Inefficiency.
- (d) Inexcusable neglect of duty.
- (e) Insubordination.
- (f) Dishonesty.
- (g) Drunkenness on duty.
- (h) Intemperance.
- (i) Addiction to the use of narcotics or habit-forming drugs.
- (j) Inexcusable absence without leave.
- (k) Conviction of a felony or conviction of a misdemeanor involving moral turpitude. A plea or verdict of guilty, or a conviction following a plea of nolo contendere, to a charge of a felony or any offense involving moral turpitude is deemed to be a conviction within the meaning of this section.
- (l) Immorality.
- (m) Discourteous treatment of the public or other employees.
- (n) Improper political activity.
- (o) Willful disobedience.
- (p) Misuse of state property.
- (q) Violation of this part or board rule.
- (r) Violation of the prohibitions set forth in accordance with Section 19251.
- (s) Refusal to take and subscribe any oath or affirmation which is required by law in connection with his employment.
- (t) Other failure of good behavior either during or outside of duty hours which is of such a nature that it causes discredit to his agency or his employment.

² *West's Annotated California Codes: Government Code*, Sections 18500 to 22999, Volume 33A, Cumulative Pocket Part for Use in 1975 (St. Paul, Minn.: West Publishing Co., 1975), p. 44.

Although it is appropriate in enabling legislation to define in broad terms the cause for which police chief executives may be disciplined, this does not mean that the use of such broad terms as "incompetency," "inefficiency," or "inexcusable neglect of duty" will satisfy the requirement of specificity in charges of misconduct. These terms may reflect sound causes for dismissal or other disciplinary action, and their inclusion in enabling legislation reinforces adequate notice of performance requirements. The specificity required by substantive due process, however, will not be met without a written description of the particulars of each alleged act, which if true would constitute an act of misconduct.

The Administrative Hearing

The proceedings of an administrative hearing involve administrative law, not criminal law. Administrative tribunals are fact finding bodies that are constituted to appraise all of the information accumulated regarding the issues before them. It is their task to reach an equitable decision without interference from unduly restrictive legal provisions.

An administrative tribunal should be guided by the fundamental rules of order that pertain to the governing and conducting of committees and boards. The hearings should be conducted with freedom from unnecessary and unreasonable delay. The procedure is characterized by informality, freedom from arbitrary decisions, lack of equivocation, and privileged to function without exactness and regularity. John M. Pfiffner, in his book *Public Administration*, described the operations of administrative tribunals:

Proceedings before most administrative agencies have been rather informal. Although attorneys are often present, there are few questions about the competency of witnesses or the admission of evidence. Witnesses testify in an informal manner frequently without interruption.³

The purpose of an administrative hearing is to ascertain the truth. The "trier of fact" should protect the rights of the accuser, the accused, and the witnesses who display a lack of ability, experience, or thorough understanding of the proceedings. The proceedings should be conducted in a manner designed to safeguard the accused police chief executive against political interference and pressure, personal prejudice, intimidation, and false accusations.

In fact, those safeguards are fundamental to the constitutionality of any hearing that could result in the loss of a property right. Honoring the rights of the accused to be represented by counsel, to present witnesses on his behalf, to subpoena persons and items of evidence, and to cross-examine witnesses is

an expression of intent that the accused police chief executive's interest will be protected. Testimony taken under oath and in a public hearing further substantiates the intent to guarantee fundamental fairness in the hearing.

Because the proceedings, findings, and penalties rendered by an administrative tribunal may be subjected to administrative and judicial review, the proceedings should be transcribed, and the records should reflect the tribunal's rationale and justification for the finding. Additionally, if a finding of guilty is rendered and a penalty is recommended, the records should include justification for the recommended penalty. Recommended penalties may range from a reprimand to removal from office.

The introduction to the *Board of Rights Manual* of the Los Angeles Police Department summarizes the purpose and duties of an administrative tribunal:

The keynote of the Board of Rights hearings is 'administrative justice.' It shall be the duty of the members of the Board to vigorously pursue the true facts of the matter being heard and to return a finding and a penalty commensurate with the evidence developed and presented. This is the avowed obligation of the Board to the Department and the public. Department members are afforded the protection of being able to properly perform their sworn duties without fear of reprisal, but it would be intensely detrimental to the general public and the Department if an officer were allowed to act discredibly under the cloak of such protection. Therefore, Board members should at all times be aware of the welfare of the Department and the public in considering the action of those officers who have been accused of misconduct.⁴

Composition of Administrative Tribunal

The concept of fundamental fairness must be preserved in the selection of persons as members of an administrative tribunal. Those selected should indeed have impressive credentials. Only persons who have the capacity to hear and adjudicate administrative charges relating to professional competence should be eligible. The triers of fact should be well versed in the complexities of administering a police agency. They must have the ability, courage, and freedom to consider only information that is relevant to the charges, to weigh that information, and to render an objective decision. Further, if an act of misconduct is proved, the triers of fact should be able to determine objectively and dispassionately a penalty that is commensurate with the misconduct committed.

Persons who meet these requirements are apt to be found within the governmental structure, particularly in larger jurisdictions such as major cities and counties. States may also have qualified persons

⁴ Board of Rights, Los Angeles Police Department, *Board of Rights Manual: Rules and Procedures Governing the Conduct of Board of Rights Hearings*. October 1971.

³ Op. cit., p. 432.

within their governmental systems who are eligible to serve on administrative tribunals for State and local jurisdictions. Other likely sources of qualified tribunal members are regional or national police executive professional organizations.

Some jurisdictions may find that capable triers of fact are not readily available from within the government structure or from police executive organizations. In those cases, consideration may be given to obtaining the services of a professional arbitration association from the private sector.

Regardless of the field from which members of administrative tribunals are selected, prejudice, in fact and in appearance, must be avoided. Therefore, individuals who originate or endorse the charges against a police chief executive should be excluded from membership on the tribunal. Additionally, tribunal members should be selected in a manner that is acceptable to both the concerned governmental authority and the accused.

Review by Superior

A superior to the police chief executive should review the tribunal's findings and recommendations. The police chief executive's immediate superior is an appropriate reviewing authority.

In the *Police* report, the duty of the tribunal to make a recommendation on the conduct of a police chief executive's subordinate, based upon its findings, and the authority of the police chief executive to modify those findings were acknowledged. Police chief executives were cautioned, however, that, "the recommendation of the trial board is only advisory, but if the police chief executive habitually ignores its recommendations the concept obviously will not work."⁵ This rationale is just as applicable to the superiors of police chief executives.

This advice must be followed. Recent court decisions have held that courts of appeal shall make an independent review of the facts presented to the tribunal and weigh those facts against the tribunal's findings.⁶

The reviewing authority, therefore, after a careful analysis of tribunal findings that recommend a penalty should affirm, reduce, or vacate the recommended penalty. If the reviewing authority believes that a penalty should be more severe than that recommended by the tribunal and elects to increase the

penalty, the increase should be justified in writing and made a part of the record.

Right of Appeal

Findings of administrative tribunals are subject to review by courts on appeal. Review by appropriate courts assures fundamental fairness.

The Police Chief Executive Committee urges the courts, upon finding a procedural or substantive error that required correction, rather than independently deciding the question of guilt or penalty, to remand the matter back to the jurisdictional administrative authority for a new hearing or other appropriate action.

Fixed-Term Appointments

Police chief executives and superiors were asked if they agreed or disagreed with the statement: "It has been suggested that qualified police chief executives should be offered fixed-term appointments that would be cancelable only for cause. The purpose would be to provide for management stability and continuity, and a reasonable period of time to achieve desirable results" (PCE II #6, Superior #8).

Although a majority of police chief executives and superiors either agreed or strongly agreed with the fixed-term concept, the percentage of positive responses from both groups was significantly smaller than the percentage of responses in support of administrative due process (Table 18.1).

Also, police chief executives and superiors differed in their opinions as to what the length of the terms should be. Police chief executives recommended terms that averaged 5.1 years compared with the superior's recommendation of approximately 3.4 years (PCE II #7, Superior #9).

Interviews with police chief executives and superiors affirmed that due process provisions are more desirable than fixed terms. Fixed terms are of particular importance when there is no other form of protection available to the police chief executive. Even then, police chief executives are vulnerable to terminations without cause or justification when the fixed term expires, regardless of the quality of police service being rendered. The most equitable method would place police chief executives' tenure in jeopardy only when it is warranted by ineptness or errant conduct.

When no other form of due process is available, however, the use of fixed-term appointments is recommended. Such appointments should be scheduled so that their expiration dates do not coincide with the expiration dates of the terms of elected officials who either directly or indirectly influence the selec-

⁵ National Advisory Commission on Criminal Justice Standards and Goals, *Police* (Washington, D.C.: Government Printing Office, 1973), Standard 19.5, p. 490.

⁶ *Strumsky v. San Diego Employees' Retirement Association*, 11 Cal 3d 28, 112 Cal Rptr. 805 (1974). *Topanga Association for a Scenic Community v. County of Los Angeles*, 11 Cal 3d 506, 113 Cal Rptr. 836 (1974).

CONTINUED

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Appendixes

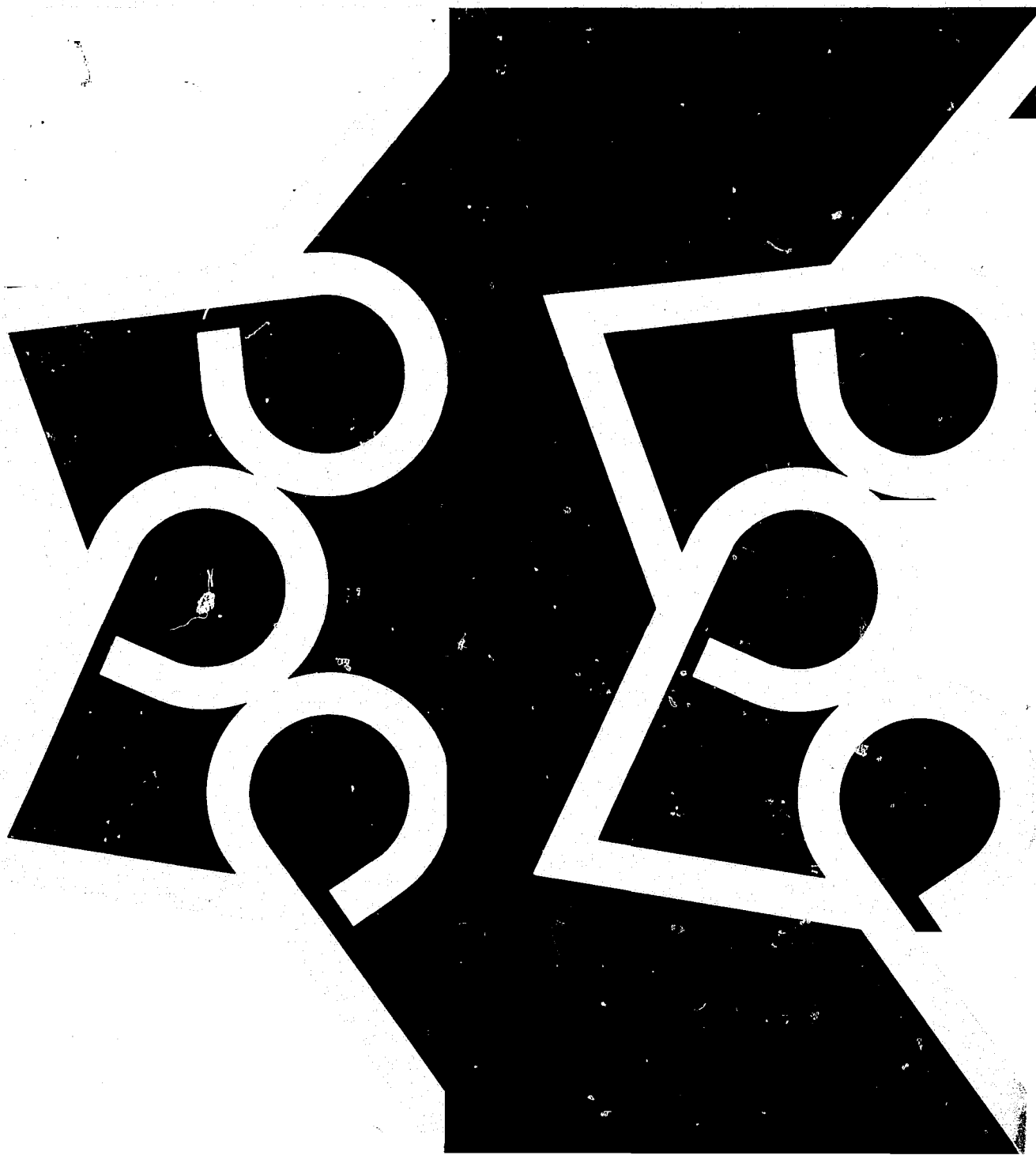


Table 18.1. Fixed-term appointments, cancelable only for cause, would provide management with stability and continuity and a reasonable period of time to achieve desirable results. More than one-half of the superiors and two-thirds of the police chief executives agreed with the fixed-term concept.

	Police Chief Executives	Superiors
	%	%
Strongly agree	37	12
Agree	30	40
Total agree	67	52
Disagree	14	26
Strongly disagree	7	10
Total disagree	21	36
Not sure	12	12

Source: PCE II #6 and Superior #8.

Police chief executives should have protection from arbitrary removal by provisions for hearings, removal for cause only, or other reasonable due process methods. Two-thirds of the superiors and 89 percent of the police chief executives agreed with the due process concept.

	Police Chief Executives	Superiors
	%	%
Strongly agree	60	22
Agree	29	45
Total agree	89	67
Disagree	5	17
Strongly disagree	1	7
Total disagree	6	24
Not sure	5	9

Source: PCE II #10 and Superior #13.

tions and terminations of police chief executives. Additionally, the terms should be long enough to give the police chief executive a reasonable opportunity to establish and achieve desirable agency objectives and goals.

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4. Pfiffner, John M. *Public Administration*. New York: Ronald Press, 1960.
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Related Standard

The following standard may be applicable in implementing Standard 18:

- 17 Assessing the Performance of Police Chief Executives

APPENDIX 1

RESEARCH METHODOLOGY

This report is the result of a 13-month research effort examining the role of the police chief executive in the United States. The research included questionnaire surveys, interviews, and a review of existing literature. The findings from these sources were supplemented with authoritative information received from the Police Chief Executive Committee which reviewed the empirical findings.

The purposes of the research effort were twofold: (1) to suggest improvements in the methods used to select future police chief executives; and (2) to identify means to increase the retention period of qualified police chief executives in order to increase the effectiveness and stability of police agencies. These purposes were addressed by using research findings to develop pertinent standards as models for State, county, and local governments.

The following discussion describes the validation process, data gathering procedures, and general format and content of the three major questionnaire surveys. The interview procedure is then described, followed by a brief description of the data processing methods.

Questionnaires

Three separate survey questionnaires were developed to measure a variety of factors encompassed

by the Police Chief Executive Project's objectives. The initial sample of police chief executives surveyed included the heads of each of the 49 State police and highway patrol agencies;¹ all of the chiefs of police and sheriffs who head police agencies with 100 or more sworn personnel; and a 20 percent random sample of the heads of those police agencies with fewer than 100 sworn personnel that report crime statistics to the Federal Bureau of Investigation *Uniform Crime Reports*. The resulting 2,546 agencies represent 14.6 percent of the 17,464 general purpose police agencies identified by the Law Enforcement Assistance Administration in its February 1975 *Report on Criminal Justice Agencies in the United States*.

The random selection of agencies for inclusion in the surveys involved use of the computer record lists of police agencies reporting crime statistics to the FBI. After excluding those agencies previously identified as having more than 100 sworn personnel, every fifth agency was selected, starting at a random point within the listing for each State. This systematic approach was used to ensure that a representative cross section of opinion would be obtained from police chief executives of police agencies throughout the United States.

Samples for the second and third questionnaire

¹ Hawaii does not have a State Police or Highway Patrol Agency.

surveys were based on the response to the first survey. Police chief executives had been asked in the first survey to indicate the title of their immediate superiors. The second set of survey questionnaires was then mailed to the immediate superiors of all nonelected police chief executives who responded to the first survey. The third questionnaire survey was mailed to every police chief executive who responded to the first questionnaire.

Each respondent was asked to complete the form personally. The respondent was assured that the data would be used only to prepare statistical summaries, and that individual responses would be confidential.

Initial Questionnaire for Police Chief Executives

The initial draft of the first questionnaire began with 19 demographic questions. These questions were followed by a number of attitude and opinion items on a variety of issues affecting leaders in law enforcement.

The initial Questionnaire for Police Chief Executives was developed and validated through review by the Police Chief Executive Committee and was submitted to a consulting survey research methodologist for critical analysis. Approval of the questionnaire was given by the National Sheriffs' Association, and an endorsement letter from that organization was included in each questionnaire mailed to sheriffs.

A pretest pilot survey was mailed to a representative sample of police chief executives in Southern California and to the Commissioner of the California Highway Patrol. The 54 pilot questionnaires included critique sheets, which were used to validate the questionnaire. Forty-nine pilot questionnaires (91 percent) were returned. The responses were utilized to validate the survey questionnaire.

The Data Gathering Procedure

Questionnaires for Police Chief Executives were mailed to 2,546 police chief executives across the Nation during a 2-week period in January 1975. Followup letters with another copy of the questionnaire were mailed to 1,430 police chief executives who had not yet returned the questionnaires in late February and early March 1975. The 1,701 returned questionnaires represented a 66.8 percent overall response.

Letters mailed in conjunction with the questionnaires were prepared individually on an automatic typewriter and personally signed by the Committee Chairman in an effort to obtain maximum recipient interest and response rate. Of the total return, 35.6 percent (605) came from heads of agencies with

fewer than 15 personnel; 32.2 percent (549) from heads of agencies with between 15 and 74; and 32.2 percent (547) from heads of agencies with 75 or more.

The Questionnaire

As may be seen in Appendix 1-1, the initial questionnaire used in the national survey included a variety of questions. Response categories for attitude questions were carefully selected to provide the respondent with meaningful choices.

The police chief executives were first asked a number of questions about their background and their agencies; the method by which they were selected; to whom they report; their law enforcement experience; and their educational achievement. These demographic data were later used to cross-tabulate attitudinal and opinion responses from all three survey questionnaires.

The demographic portion of the questionnaires was followed by a series of questions regarding the need for minimum qualifications for police chief executives and the types of qualifications believed necessary. This portion of the questionnaire dealt with the need for education, training, experience, and possible substitutions in these three major areas.

Opinions were solicited regarding methods of selection for police chief executives, certification, lateral entry of candidates, and the value of regional or national academies for police chief executives. From a list of 11 personal traits desirable in executives, respondents were asked to select the six they considered most important.

In the next item, 20 problems that commonly confront police chief executives were described. These areas of concern included recruitment, budgeting, discipline, community relations, and the criminal justice system. Respondents were asked to weigh the relative severity of each problem on a scale of zero to 10. A "zero" response indicated that the respondent felt there was no problem in the particular area.

Police chief executives were then asked to estimate the percentage of time they spent in each of five duties: operational field activities; internal management; public relations; interaction with local officials; and interaction with criminal justice system agencies. Respondents were not required to account for 100 percent of their time, and were given additional space to describe other activities.

Respondents were asked to indicate which of three possible problems might develop if a future police chief executive were selected from outside the agency. If no problems were anticipated, that response was available.

Next, conditions that might seriously jeopardize a police chief executive's position were listed and respondents were asked to indicate those items that might apply to their agencies. Respondents were also asked to indicate whether they were protected from arbitrary or unjustified removal, and whether lack of such protection would affect a police chief executive's job performance. Alternatives from "no" to "very seriously" were provided.

Finally, the respondent was asked what factors frequently influence an immediate superior's appraisal of a police chief executive. The list of possible factors included community opinion, budget management, level of crime, quality of personnel performance, and the like. The respondent was then asked which factor "is most influential" and which factor "should be most influential."

Questionnaire for the Immediate Superiors of Police Chief Executives

The second survey questionnaire (Appendix 1-2) was developed for the immediate superiors of non-elected police chief executives. It utilized a format and process similar to the first survey. Five questions from the first survey were used in the superior's questionnaire, and 14 additional questions were developed.

A pilot survey was conducted with 43 superiors of those police chief executives involved in the first pilot survey. A 91-percent (39) return was obtained, and the results were used in validating the second survey instrument.

Questions were asked regarding five demographic variables and a number of items about the role of superiors relating to the objectives of the project. Review was again exercised by the Police Chief Executive Committee and a consulting survey research methodologist. Approval of the second questionnaire was obtained from the International City Management Association, and a copy of the endorsement letter was mailed with each survey questionnaire.

The Data Gathering Procedure

Commencing in April 1975, questionnaires were mailed to 1,263 superiors of the nonelected police chief executives who had by that date returned a questionnaire. They included Governors, mayors, city managers, public safety directors, presiding officers of police boards and commissions, and city council members. The police chief executives concerned were apprised of this followup activity and were assured

that the initial questionnaire responses would remain confidential.

Questionnaire coding numbers used in the first survey were repeated in the second survey to provide for subsequent correlation of data. Followup letters to 677 superiors were mailed with another copy of the questionnaire in the middle of May 1975. Overall, 65.8 percent (831) of the superiors returned their questionnaires.

The Questionnaire

Superiors were first asked the extent of their authority over the police chief executive in their jurisdiction; whether it is sole, shared, or as head of a board. Two questions regarding selection of police chief executives were asked. One asked what the advantage would be in selecting a candidate from outside the jurisdiction's agency, if any. The other asked what the extent of the immediate superior's role should be in the selection process.

The next four questions were identical to four items appearing in the first survey. These questions dealt with minimum qualifications, desirable traits in police chief executives, certification, selection methods, lateral entry, and the training needs of police chief executives.

The superiors were then asked to indicate the degree of their agreement or disagreement with the concept of fixed-term appointments for police chief executives. Recommendations for a minimum term, should fixed terms be adopted in their jurisdiction, were solicited.

Superiors were asked about the importance of 11 items relating to selection criteria for police chief executives. The items included education, management training, physical fitness, and military experience. Among the possible answers, provision was made for "not sure" and "unimportant" responses.

Fourteen generally recognized management skills were then listed. The superiors were asked to indicate on a scale of zero to 10 the importance of each skill for a police chief executive. A response of "zero" meant the skill was unimportant.

From a list of nine items, superiors were asked to indicate those items that should be part of the formal selection process for police chief executives. The listing included objective examinations, oral interviews, background investigations, simulated management exercises, and the like. The option of no formal selection process was also available.

Superiors were then asked whether police chief executives should be protected from arbitrary removal by provisions for hearings, removal for cause only, or other reasonable due process methods.

Opinions regarding the best method of supervising a police chief executive were then sought by asking superiors to indicate which of four alternative methods they thought performed supervision best. A similar question regarding the role superiors should play in the termination of the police chief executive was also asked.

Two questions regarding press policy and public statements by police chief executives were included. First, opinions were sought regarding the proper person within the agency to make statements to the press about newsworthy activities involving public safety. Suggested answers included any involved officer, a specifically designated employee, the police chief executive, or the immediate superior. The second item sought to determine whether police chief executives should have the latitude to express publicly their professional opinions on issues relating to public safety.

Superiors were next asked a question that was included in the first questionnaire. It asked the respondents what factors influence their appraisals of police chief executives. Finally, they were asked to indicate the percent of time they devoted in relation to the police agency in their jurisdiction.

Followup Questionnaire for Police Chief Executives

The third survey instrument (Appendix 1-3) was directed to those police chief executives who responded to the first questionnaire. Eleven questions appearing in the questionnaire for immediate superiors were repeated in the followup questionnaire, and five new questions were developed. The survey questionnaire was reviewed by the Police Chief Executive Committee and a consulting research methodologist.

The Data Gathering Procedure

During the last week of April 1975, questionnaires were mailed to 1,665 police chief executives who had by that time returned the first questionnaire. A followup letter was mailed to 549 police chief executives in the first week of June 1975. The total response to the third questionnaire was 82.8 percent (1,378).

The Questionnaire

The 11 duplicate questions involved the role of an immediate superior in the selection of a police chief

executive, and the importance of the various professional experience factors and management skills. Opinions were asked on fixed-term appointments and how long the term for that appointment should be; the important parts of the selection process; press policy; and how a police chief executive should be supervised. Other questions pertained to due process and the role of a superior in the termination of a police chief executive. Responses to those questions that appeared on any two of the three questionnaires were correlated and cross-tabulated.

Five new items were included. The first new item asked whether the appointment of a police chief executive should be confirmed by some authority other than the body or individual making the selection. Response choices were: confirmation by an elected official, an elected body, an appointed official, an appointed body, no confirmation, or other.

The next question sought opinions regarding the due process protection that police chief executives should have while on "probation." Three choices were offered covering no protection, protection only upon completion of probation, and full protection immediately upon taking office.

Police chief executives were then asked for a definition of "appointment based on merit." Seven responses were possible, including evaluation by formal and informal testing, without testing, and evaluation by various types of officials, boards, committees, or consultants.

These last two questions were developed after reviewing responses to similar but less extensive questions in the first and second questionnaires.

The police chief executives were given a list of 16 possible methods for learning of internal problems within their agencies. The list included formal meetings with various levels of personnel; review of personnel grievances; an open door policy; public opinion surveys; and the like. Respondents were asked to rate each method on a scale ranging from "very poor" to "very good," with an additional category of "not sure."

The last of the five new questions asked whether candidates for elective police chief executive positions should identify themselves as "partisan" or as "non-partisan."

At the conclusion of the followup questionnaire, space was provided for respondents to comment. Comments were used to supplement and to verify the statistical findings.

The table below provides a cross-reference of numbered questions that appear on more than one questionnaire.

Police Chief Executive Questionnaire	Superior Questionnaire	Followup Questionnaire
# 1	# 4	
# 2	# 6	
# 3	# 7	
# 4	# 5	
#10	#18	
	# 3	# 1
	#10	# 4
	#11	# 5
	# 8	# 6
	# 9	# 7
	#12	# 8
	#13	#10
	#17	#11
	#14	#12
	#15	#13
	#16	#14

Interviews

The project staff conducted 75 interviews between February and September 1975. These were designed to supplement data compiled from the surveys and to elicit specific information relating to the objectives of the project.

Interviews were conducted with incumbent police chief executives, former police chief executives, the immediate superiors of police chief executives, and selected experts in fields pertinent to the project. Regional and other demographic factors were considered in the selection process, as were size and type of agency.

Interviewees were selected in one of four ways. First, based upon a review of the literature, those active or former police chief executives who were recognized for their contributions to the profession were considered. Second, persons recommended by the Police Chief Executive Committee were considered. Third, responses to the three surveys were analyzed and those respondents who had made representative responses relating to specific project objectives were considered. Fourth, specialists and experts in areas such as law, salaries, and training were identified and interviewed for specific information in their fields that could be applied to the project's objectives.

Persons selected as interviewees were contacted by telephone and given a brief background of the project and its objectives. If they agreed to be interviewed, date and time were set and later confirmed prior to the actual interview. Most of the interviews were held in the city of the interviewee, usually in the interviewee's office.

The interviews were conducted by five members of the project staff, all of whom are sworn members of the Los Angeles Police Department. Occasionally, interviews were conducted in the Los Angeles office of the Police Chief Executive Project, or at various conferences where staff members and individuals who had been selected for interview were in attendance.

To help ensure maximum candor in their comments, interviewees were assured of the confidentiality of responses. Interviews were not taped. Notes were taken by interviewers and incorporated into general summary reports for later analysis.

In an effort to reduce any modeling effect, interviewer training sessions were conducted in January 1975. Mock interviews with a selected police administrator, who simulated the role of a police chief executive, were conducted by each staff member. These videotaped interviews were critically reviewed by the project's Executive Director and discussed with each interviewer. Mock interviews also were used to help decide which of the project's objectives required greater attention in the interview phase.

An interview design specialist was engaged to review staff training methods, the development of question areas, and the quality of interview reports, and to provide assistance in content analysis.

Additionally, 12 pilot interviews were conducted with selected police administrators to test various interview formats and methods. The pilot interviews were utilized as additional training for the interviewers and to validate the interview process.

From this process, a semistructured interview approach was developed. Standardized questions designed to elicit an open-ended response were developed. Depending upon the predetermined areas in which the interviewee could provide the greatest assistance, selected questions were posed. Interviewers utilized the standardized question areas to prepare for each interview but did not ask the same questions or ask them in the same sequence with each interviewee.

Some of the question areas were:

- Minimum qualifications that should be established for police chief executives.
- Advantages and disadvantages in considering police chief executive candidates from outside as well as inside the agency.
- Whether police chief executives should be responsible to an individual or to a board.
- How a police chief executive can work effectively in the political climate of the jurisdiction and remain immune to improper political influence.
- The steps a police chief executive should take to develop an effective working relationship with other elements of the criminal justice system.

- The steps police chief executives should take when they first assume command.
- The kinds of protection police chief executives have against arbitrary and unjustified removal, and how the lack of protection affects their ability to fulfill their responsibilities.

At the conclusion of each interview, the interviewer prepared a report, either written or tape-recorded. After typing, the report was reviewed by the interviewer for accuracy. The content was then analyzed. Comments from each interview report were categorized into one or more of 18 broad areas corresponding to the drafts of standards for this Report. The content was used for various purposes: to prepare subject commentaries, to validate survey data, and to provide insight into specific subject areas.

Data Processing

Data for the project were obtained from four major sources: written literature, interview reports, direct written and verbal Committee input, and questionnaire surveys. The data from each source were compiled independently by the staff.

Selected written materials were reviewed, indexed, and cross-referenced into subject areas. In some cases, content analysis was used in the preparation of summaries that became a part of the project's files.

Interview reports were also filed and indexed. Content analyses included categorizing the interviewee's responses into the same subject areas and cross-filing them with other project materials. Reports of interviews conducted with individuals who had responded to a questionnaire survey were assigned a code compatible with questionnaire survey data.

Written and verbal input from the seven Police Chief Executive Committee meetings was analyzed and categorized in relation to the project's objectives. Committee comments had a direct impact on the phrasing of standards and commentaries.

Data from the three questionnaire survey forms were prepared for conversion and processing by the IBM 370-155 computer used by the Los Angeles Data Services Bureau. Coding and key punching instructions were designed for each of the three survey forms by the Community Analysis Bureau of the City of Los Angeles.

Forms received from respondents were edited and coded by staff personnel. Special codes were designated for each question to indicate a "no response." Key punching was performed directly from the coded survey forms with Computer Machine Corporation key-to-disk equipment. Each survey questionnaire was keypunched as a separate data set. The three major data files were: the executive file, the superior file, and the followup file.

Each questionnaire data set was identified by a unique four-digit code. This code number identified the agency. Using the identification code number for the agency or jurisdiction, records on the three major data files could be merged into one record. A final data file was obtained by such a merger of the original three data files.

Although the same police chief executive usually responded to the first and third questionnaires, in 2.6 percent of the cases, the original police chief executive had left the position and the second response was by his successor.

The final data file contained 1,665 records; each record consisted of all three responses from one jurisdiction. If a response to one or two of the questionnaires had not been received from a jurisdiction, then all the fields pertaining to the missing questionnaires were coded as "no response."

Error checking consisted of several phases:

1. After the first data file had been punched, a random sample of 100 records was printed out and each field verified against the original questionnaire. Both the coding and the keypunching were verified. The error rate was less than 0.5 percent. These errors were corrected.

2. After each data file was generated, a computer program that identified illegal codes was run. These errors were corrected.

3. When the data files were matched, records that had no match on the other files were identified and verified.

In all three data files, each questionnaire record contained the unique identification code, the agency type code, and the census division and State codes. Once the three files were merged, the code numbers for agency type and geographic location were checked to ensure that the three files matched, and all mismatches were corrected. The importance of grouping and matching required accurate classification of these variables.

The majority of statistical analyses was simple cross-tabulation using frequencies and percents. Many of the tables resulting from the cross-tabulations were used as sources for graphs and charts presented in the text of the current Report. A chi-square test for differences between given groups was used when appropriate in developing and commenting upon particular standards and in examining selected variables for trends.

Cross-tabulations by type of agency were performed according to categories of State, sheriff, and city or county. For consistency with the *Police* report of the National Advisory Commission on Criminal Justice Standards and Goals, the size of agency was determined by counting both sworn and civilian per-

sonnel; and agency-size categories were 1 to 14, 15 to 74, 75 to 149, 150 to 399, 400 to 999, and 1,000 or more personnel. Other categorizations of data are illustrated in this Report.

In order to provide for a more meaningful data analysis and presentation, means, medians, modes, ranges, quartiles, and standard deviations were computed for selected variables that generated parametric data. Appropriate inferential statistical tests were used to examine hypotheses of particular interest, but it was deemed feasible to present the majority of the data in descriptive form. As presented in various areas of the Report, respondents were asked to rate some questionnaire items according to a continuum. In given instances, means were computed from these ratings to generate a hierarchy of values for illustrative and interpretative purposes.

In the data analysis phase of the project, extensive

use was made of statistical packaged programs, particularly the Statistical Package for the Social Sciences (SPSS) and the Biomed Programs (BMD). Fortran programs were developed when more specialized programs were needed.

An expert statistician was engaged to review and analyze the methodologies used to develop the research design and the survey questionnaires. In addition, the consultant advised on the presentation of statistical models developed from the research, and suggested various data processing methods to examine the data.

Throughout the data processing and presentation phases of the project, the Police Chief Executive Committee was provided with data analyses as they were generated from various sources. These data were reviewed and discussed by the Committee prior to final approval and inclusion in the current Report.



POLICE CHIEF EXECUTIVE PROJECT
250 East First Street, Suite 809
Los Angeles, California 90012



QUESTIONNAIRE FOR POLICE CHIEF EXECUTIVES

This questionnaire is designed to secure your opinion on a variety of issues affecting leaders in law enforcement. The term "Police Chief Executive" (PCE) includes the heads of all police agencies, elected or appointed, who carry the title of Chief of Police, Sheriff, Superintendent, Colonel, Director, Commissioner, or other similar rank.

Instructions for answering questions, where necessary, have been included with the specific question or group of questions.

Your participation in this project is an important contribution to the police profession and is sincerely appreciated.

AD	APG				Control Number
A. Name of responding Police Chief Executive.					B. Age
C. Title		D. Agency		E. State	
F. Approximate number sworn personnel employed.			G. Approximate number civilian personnel employed.		
H. How were you selected as Police Chief Executive? 1 <input type="checkbox"/> Civil Service 3 <input type="checkbox"/> Political appointment 2 <input type="checkbox"/> Election 4 <input type="checkbox"/> Seniority 5 <input type="checkbox"/> Other (specify) _____			I. What is the title of the individual or board who finally selected you?		
J. To whom are you directly responsible? 1 <input type="checkbox"/> An individual 3 <input type="checkbox"/> A board 2 <input type="checkbox"/> Both 4 <input type="checkbox"/> Other (specify) _____			K. What is the title of that individual or board?		
L. Total years employed as law enforcement officer.		M. Did you advance to Police Chief Executive from within your present agency? <input type="checkbox"/> Yes <input type="checkbox"/> No		N. Time in present position. <input type="checkbox"/> Years <input type="checkbox"/> Months	
O. Position held immediately prior to your present position.					
P. With what agency?		Q. State	R. How long? <input type="checkbox"/> Years <input type="checkbox"/> Months		
S. Highest level of education achieved: 1 <input type="checkbox"/> Less than high school 2 <input type="checkbox"/> High school equivalency 3 <input type="checkbox"/> High school diploma 4 <input type="checkbox"/> Some college 5 <input type="checkbox"/> Associate degree 6 <input type="checkbox"/> Bachelors degree 7 <input type="checkbox"/> Law degree <input type="checkbox"/> Yes <input type="checkbox"/> No 7 <input type="checkbox"/> Masters degree 8 <input type="checkbox"/> Doctorate					
U. If you have ever held a job, position, or office outside of law enforcement that provided experience beneficial in your present position, please describe. _____ _____					

1. In your opinion, minimum qualifications should be established for Police Chief Executive candidates for:
(mark one only)

- 1 ☐ All agencies
- 2 ☐ Agencies with 15 or more personnel
- 3 ☐ Agencies with 75 or more personnel
- 4 ☐ Agencies with 150 or more personnel
- 5 ☐ No agencies, minimum qualifications are not necessary

2. If minimum qualifications were to be recommended for future Police Chief Executive candidates for your agency, those qualifications should include:

Education (mark only one)

- 1 ☐ College—Masters degree
- 2 ☐ College—4 years or Bachelors degree
- 3 ☐ College—2 years or Associate degree
- 4 ☐ High school diploma
- 5 ☐ High school equivalency
- 6 ☐ Formal education need not be specified

Training (more than one may be marked)

- 7 ☐ Some law enforcement training, such as basic academy, in-service or supervisory training.
- 8 ☐ Some management or executive development training and seminars at the college level.

Experience (more than one may be marked)

- 9 ☐ A minimum number of years of prior law enforcement experience
- 10 ☐ Some command or supervisory experience within law enforcement

Alternative Qualifications (more than one may be marked)

- 11 ☐ Training institutes, seminars, and law enforcement academy training as a substitute for some formal education
- 12 ☐ On-the-job experience within law enforcement as a substitute for some formal education or training
- 13 ☐ Certain types of supervisory positions held or executive experience obtained outside the field of law enforcement as a substitute for some law enforcement experience
- 14 ☐ Other (specify) _____

3. Please indicate your opinion of the following statements by placing a mark in the appropriate column.

	1 Strongly Agree	2 Agree	3 Not Sure	4 Disagree	5 Strongly Disagree
A. The next Police Chief Executive in your agency should be selected from candidates outside as well as inside your agency.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(please mark each category)					
B. Each of the following is a good method of selecting Police Chief Executives.					
1 Civil service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2 Political appointment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3 Elective	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4 Seniority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5 "Merit" selection process other than above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Formal certification programs at the regional or state level would be a good method of verifying the qualifications of Police Chief Executives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. A national academy for training new Police Chief Executives is needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. A regional or state level academy for training new Police Chief Executives is needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. The below-listed personal characteristics have been proposed as desirable traits in executives. Please indicate the six characteristics you believe to be most significant for Police Chief Executives to possess. (mark six choices)

1 <input type="checkbox"/> Energy/Initiative	5 <input type="checkbox"/> Integrity/Honesty	9 <input type="checkbox"/> Flexible/Open-Minded
2 <input type="checkbox"/> Courage/Self-Confidence	6 <input type="checkbox"/> Ethical/Loyal	10 <input type="checkbox"/> Interested/Sincere
3 <input type="checkbox"/> Alert/Intelligent	7 <input type="checkbox"/> Patience/Self-Control	11 <input type="checkbox"/> Cooperative/Reasonable
4 <input type="checkbox"/> Judgment/Common Sense	8 <input type="checkbox"/> Forceful/Persuasive	12 <input type="checkbox"/> Other (specify) _____

5. In each of the following categories, indicate the severity of problems confronting Police Chief Executives in your region, although not necessarily in your agency. Circle the number in each category which seems to you most appropriate. The severest possible rating is "10;" a rating of "0" indicates the area poses no problem. Please note the three descriptors which are applicable to each item.

	Problems are routine, not serious and have been sufficiently controlled.				Serious problems exist; however, present management methods should sufficiently minimize their adverse effects.				Conditions exist which pose extremely serious problems to enforcement agencies.			
A. OBTAINING PUBLIC SUPPORT	0	1	2	3	4	5	6	7	8	9	10	
B. RECRUITMENT OF QUALIFIED PERSONNEL	0	1	2	3	4	5	6	7	8	9	10	
C. RECRUITMENT OF QUALIFIED MINORITY PERSONNEL	0	1	2	3	4	5	6	7	8	9	10	
D. RETENTION OF QUALIFIED PERSONNEL	0	1	2	3	4	5	6	7	8	9	10	
E. EMPLOYEE LABOR ORGANIZATIONS	0	1	2	3	4	5	6	7	8	9	10	
F. FAIR COVERAGE BY THE NEWS MEDIA	0	1	2	3	4	5	6	7	8	9	10	
G. ADMINISTRATION OF INTERNAL DISCIPLINE	0	1	2	3	4	5	6	7	8	9	10	
H. CRIME	0	1	2	3	4	5	6	7	8	9	10	
I. EXCESSIVE INVOLVEMENT OF APPOINTED OR ELECTED OFFICIALS IN POLICE AGENCY MANAGEMENT	0	1	2	3	4	5	6	7	8	9	10	
J. SPECIAL INTEREST GROUPS	0	1	2	3	4	5	6	7	8	9	10	
K. AGENCY BUDGET	0	1	2	3	4	5	6	7	8	9	10	
L. CIVIL SERVICE SYSTEMS	0	1	2	3	4	5	6	7	8	9	10	
M. PROSECUTORS' OFFICES	0	1	2	3	4	5	6	7	8	9	10	
N. CORRECTIONS SYSTEMS	0	1	2	3	4	5	6	7	8	9	10	
O. ADMINISTRATION OF PROBATION	0	1	2	3	4	5	6	7	8	9	10	
P. PROCESSING OF JUVENILES BY COURTS	0	1	2	3	4	5	6	7	8	9	10	
Q. PROCESSING OF ADULTS BY COURTS	0	1	2	3	4	5	6	7	8	9	10	
R. CORRUPTION INSIDE POLICE AGENCIES	0	1	2	3	4	5	6	7	8	9	10	
S. CORRUPTION INSIDE LOCAL POLITICAL SYSTEMS	0	1	2	3	4	5	6	7	8	9	10	
T. COMMUNITY INDIFFERENCE TO CORRUPTION	0	1	2	3	4	5	6	7	8	9	10	
U. OTHER (SPECIFY) _____	0	1	2	3	4	5	6	7	8	9	10	

6. Please estimate the percentage of time you spend on the duties involved in your position: *(Need not total 100%)*

Percentage
of Time

1 ☐ **Participation in Operational Field Activities**
(Patrol, Investigation, Field Supervision, Direction of Major Field Incidents)

2 ☐ **Public Relations**
(Public Appearances, Speeches, News Media Relations, Citizen Contacts)

3 ☐ **Interaction with Local Officials**
(Correspondence and Meetings with Mayor, City Manager, Council, Aldermen)

4 ☐ **Internal Management**
(Discipline, Internal Reports, Staff Conferences, Employee Matters, Planning)

5 ☐ **Interaction with Agencies in the Criminal Justice System**
(Judges, Correctional and Probation Officers, Prosecutors)

6 ☐ **Other Major Duties You May Wish to Specify**
(Please include percentage) _____

7. If it became advisable to select the next Police Chief Executive in your jurisdiction from outside the agency, this would: *(mark one or more)*

1 ☐ Present no problems

2 ☐ Be harmful to the morale of agency personnel

3 ☐ Be difficult due to pension considerations

4 ☐ Present problems in the area of community acceptance

5 ☐ Other (specify) _____

8. Considering those conditions which might jeopardize a Police Chief Executive's position, which do you regard as very serious? *(mark one or more)*

1 ☐ Level of crime

2 ☐ Occurrence of very serious crime(s) in community

3 ☐ Misconduct or corruption of agency personnel

4 ☐ Management/employee relations

5 ☐ Lack of sufficient resources (manpower, budget)

10 ☐ Other (specify) _____

6 ☐ Governmental political pressure

7 ☐ Special interest pressure

8 ☐ Lack of community support

9 ☐ Internal politics

9. Public hearings, removal for cause only, and due process are methods to protect Police Chief Executives from arbitrary and unjustified removal.

A. Do such provisions exist for your position?

1 ☐ Yes

2 ☐ No

B. In your opinion, does the lack of protection from arbitrary and unjustified removal affect a Police Chief Executive's capability to fulfill his responsibilities objectively and independently?

1 ☐ No

2 ☐ Slightly

3 ☐ Seriously

4 ☐ Very seriously

10. In your opinion, what factors frequently influence an immediate superior's appraisal of his Police Chief Executive? *(mark one or more)*

1 ☐ Community opinion

2 ☐ News media opinion

3 ☐ Criminal justice system members' opinion

4 ☐ Police employee association opinion

5 ☐ Level of crime

11 ☐ Other (specify) _____

6 ☐ Management of agency budget

7 ☐ Administration of internal discipline

8 ☐ Quality of agency personnel performance

9 ☐ Personal conduct of Police Chief Executive

10 ☐ Reported corruption in agency

If more than one answer is marked, which factor is *most* influential?

Enter
Item
Number 12 ☐

Which factor *should be most* influential?

Enter
Item
Number 13 ☐

Signature of Police Chief Executive



POLICE CHIEF EXECUTIVE PROJECT

250 East First Street, Suite 809
Los Angeles, California 90012



FOLLOW-UP QUESTIONNAIRE FOR POLICE CHIEF EXECUTIVES

Thank you for your valuable response to the original Questionnaire For Police Chief Executives. This follow-up questionnaire is designed to secure your opinions on issues which have been selected for additional research. These issues were suggested by cumulative responses to the original Questionnaire For Police Chief Executives.

The term "Police Chief Executive" includes elected and appointed heads of all agencies which perform law enforcement functions. A Police Chief Executive might carry the title of Chief of Police, Sheriff, Superintendent, Colonel, Director, Commissioner, or other similar rank.

Your continued participation in this project is an important contribution to the police profession and is sincerely appreciated.

INDIVIDUAL RESPONSES WILL REMAIN CONFIDENTIAL

INFORMATION WILL BE UTILIZED ONLY TO PREPARE STATISTICAL SUMMARIES

		Control Number F-
A. Name of responding Police Chief Executive		
B. Agency		C. State
<p>1. How much authority do you think an immediate superior should have in the selection of the Police Chief Executive for his jurisdiction? <i>(mark one only)</i></p> <p>1 <input type="checkbox"/> Have sole authority for selection 3 <input type="checkbox"/> Advise on the selection but have no authority 2 <input type="checkbox"/> Share authority in the selection 4 <input type="checkbox"/> Have no part in the selection 5 <input type="checkbox"/> Other (specify) _____</p>		
<p>2. In your opinion, should the selection of a non-elected Police Chief Executive be formally confirmed by some authority other than the body or individual making the selection? <i>(mark one or more)</i></p> <p>1 <input type="checkbox"/> Yes, by an elected official 2 <input type="checkbox"/> Yes, by an elected body 3 <input type="checkbox"/> Yes, by an appointed official 4 <input type="checkbox"/> Yes, by an appointed body 5 <input type="checkbox"/> No, confirmation is not advisable 6 <input type="checkbox"/> Other (specify) _____</p>		
<p>3. Prior research indicates wide variances in the amount of job protection afforded Police Chief Executives. Additional research is needed to determine a fair and equitable combination of protection and probation most desired by Police Chief Executives. Which of the following best describes your opinion regarding probation for Police Chief Executives? <i>(mark one only)</i></p> <p>1 <input type="checkbox"/> An appointed Police Chief Executive should serve at the pleasure of his superior throughout the Police Chief Executive's tenure in office. 2 <input type="checkbox"/> A Police Chief Executive should be required to satisfactorily complete a probationary period; then he should be given a tenured appointment with protection by due process. 3 <input type="checkbox"/> There should be no probationary period; a Police Chief Executive should have full protection by due process immediately upon assuming office. 4 <input type="checkbox"/> Other (specify) _____</p>		

4. How important do you believe the following items should be in selecting a Police Chief Executive?
(Please mark one in each of the following 12 categories.)

	1 Very Unimportant	2 Unimportant	3 Not Sure	4 Important	5 Very Important
1. Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Law Enforcement Experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Management Experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Military Experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Physical Fitness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Law Enforcement Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Management Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Personal Appearance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Personality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Professional Reputation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Age	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Other (specify) _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. How important is it that a Police Chief Executive be *knowledgeable* or *experienced* in each of the following management skills? Circle the number in each category which seems most appropriate. The highest degree of importance is "10." A rating of "0" indicates the skill is unimportant.

Unimportant	Important		Very Important		Extremely Important	
A. ORGANIZING AGENCY PERSONNEL AND FUNCTIONS						
0	1	2	3	4	5	6 7 8 9 10
B. FORECASTING, PLANNING AND IMPLEMENTING AGENCY ACTIVITIES						
0	1	2	3	4	5	6 7 8 9 10
C. BUDGETING AND FISCAL MANAGEMENT						
0	1	2	3	4	5	6 7 8 9 10
D. MOTIVATING PERSONNEL AND MAINTAINING HIGH MORALE						
0	1	2	3	4	5	6 7 8 9 10
E. DEVELOPING SUBORDINATES INTO AN EFFECTIVE TEAM						
0	1	2	3	4	5	6 7 8 9 10
F. RELATING TO THE COMMUNITY						
0	1	2	3	4	5	6 7 8 9 10
G. MAINTAINING INTERNAL REVIEW AND CONTROL						
0	1	2	3	4	5	6 7 8 9 10
H. ESTABLISHING AND COMMUNICATING OBJECTIVES AND PRIORITIES						
0	1	2	3	4	5	6 7 8 9 10
I. COORDINATING AGENCY ACTIVITY WITH OTHER ORGANIZATIONS						
0	1	2	3	4	5	6 7 8 9 10
J. COMMUNICATING WITH ALL LEVELS WITHIN THE AGENCY						
0	1	2	3	4	5	6 7 8 9 10
K. RESOLVING EMPLOYEE RELATIONS PROBLEMS						
0	1	2	3	4	5	6 7 8 9 10
L. UTILIZING ADVANCED TECHNOLOGY						
0	1	2	3	4	5	6 7 8 9 10
M. SECURING AND MANAGING GRANT FUNDED PROJECTS						
0	1	2	3	4	5	6 7 8 9 10
N. ADMINISTERING INTERNAL DISCIPLINE						
0	1	2	3	4	5	6 7 8 9 10
O. OTHER (SPECIFY) _____						
0	1	2	3	4	5	6 7 8 9 10

6. It has been suggested that qualified Police Chief Executives should be offered fixed-term appointments that would be cancellable only for cause. The purpose would be to provide for management stability and continuity, and a reasonable period of time to achieve desirable results.

In general, what is your opinion regarding this suggestion?

Strongly
Agree

1 ☐

Agree

2 ☐

Not
Sure

3 ☐

Disagree

4 ☐

Strongly
Disagree

5 ☐

7. If the next Police Chief Executive in your jurisdiction were to be appointed for a fixed term (with provision for cancellation for cause), what minimum term do you recommend? Years

8. Which of the below do you believe should be a part of the formal selection process for Police Chief Executives? (mark one or more)

1 ☐

Written application or resume

2 ☐

Objective examination
(multiple choice type)

3 ☐

Written essay examination

4 ☐

Oral interview

5 ☐

Evaluation by peers (professional associates)

6 ☐

Background investigation

7 ☐

Performance evaluations from recently
held positions

8 ☐

Simulated management exercises

9 ☐

Formal selection process is not necessary

10 ☐

Other (specify) _____

9. Research to date has revealed that many Police Chief Executives and their superiors believe that **appointment based on merit** is a good method for selecting Police Chief Executives. Please indicate the selection methods which you most readily identify with "merit selection." (mark one or more)

1 ☐

Evaluation by testing that is in accordance
with permanent rules established by a
governmental authority

2 ☐

Evaluation by testing that is unrestricted
by previously established rules

3 ☐

Evaluation based solely on past
performance, without testing

4 ☐

Judgment of elected official(s)

5 ☐

Judgment of appointed official(s)

6 ☐

Evaluation by selection board or committee

7 ☐

Evaluation by outside professional consultant(s)

10. It has been suggested that Police Chief Executives should have protection from arbitrary removal by provisions for hearings, removal for cause only, or other reasonable due process methods.

In general, what is your opinion regarding this suggestion?

Strongly
Agree

1 ☐

Agree

2 ☐

Not
Sure

3 ☐

Disagree

4 ☐

Strongly
Disagree

5 ☐

11. How much of a role do you think an immediate superior should have in the **termination** of the Police Chief Executive in his jurisdiction? (mark one only)

1 ☐

Have sole responsibility for termination

2 ☐

Have a vote in the termination

3 ☐

Initiate disciplinary charges to be
adjudicated by a board

4 ☐

Advise on the termination but have no vote

5 ☐

Have no part in the termination

6 ☐

Other (specify) _____

12. Police Chief Executives are generally supervised by individuals, boards, and various combinations of individuals and/or boards. In your opinion, supervision of Police Chief Executives is best performed by: (mark one only)

1 ☐

One individual

2 ☐

A board acting through majority vote

3 ☐

Other (specify) _____

3 ☐

Any member of a board acting individually

4 ☐

An individual with concurrence from higher
authority

13. Statements made to the press to inform the public of newsworthy police activities involving public safety should be made by: (mark one or more)

1 ☐

Any involved officer with knowledge of the specific activity

2 ☐

Any employee(s) designated by the Police Chief Executive

3 ☐

Other (specify) _____

3 ☐

The Police Chief Executive

4 ☐

The Police Chief Executive's superior

14. The Police Chief Executive should have the latitude to publicly express his professional opinions on issues relating to public safety.

In general, what is your opinion regarding this statement?

Strongly
Agree

Agree

Not
Sure

Disagree

Strongly
Disagree

1 ☐

2 ☐

3 ☐

4 ☐

5 ☐

15. Police Chief Executives may use a variety of methods to learn of internal problems within their agencies. Some methods may be used infrequently or only under specific circumstances; other methods may be used regularly. Please indicate your opinion of the value of the following methods for Police Chief Executives to **personally** learn of internal problems. *(Please mark one in each of the following categories.)*

	1 Very Poor	2 Poor	3 Not Sure	4 Good	5 Very Good
A. Formal meetings with high-ranking personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Formal meetings with low-ranking personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Formal meetings that include personnel from many or all ranks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Informal contact with individual officers of all ranks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E. An "open door" policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F. Conduct inspections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
G. Suggestion boxes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
H. Monitor complaints against agency personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I. Formal audits of agency activities by outside persons or organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
J. Review personnel grievances	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
K. Review management reports submitted by subordinate personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
L. Monitor informal communications within agency ("grapevine")	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M. Monitor activities of employee/labor organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
N. Public opinion surveys	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
O. Communications with persons outside the agency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
P. Monitor news media releases, publications, and broadcasts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Q. Other (specify) _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

16. Elected Police Chief Executives, including many sheriffs and some chiefs of police, are often identified with a political party. Do you believe that Police Chief Executives, if elected, should run for election as "partisan" candidates, identified by party affiliation, or as "non-partisan" candidates who are not identified with a political party? *(mark one only)*

- 1 ☐ Partisan
2 ☐ Non-partisan
3 ☐ Not sure

Comment:

Signature



POLICE CHIEF EXECUTIVE PROJECT
250 East First Street, Suite 809
Los Angeles, California 90012



QUESTIONNAIRE FOR THE IMMEDIATE SUPERIORS OF POLICE CHIEF EXECUTIVES

This questionnaire is designed to secure your opinion on a variety of issues affecting law enforcement. The term "Police Chief Executive" (PCE) includes the heads of all police agencies, elected or appointed, regardless of size. A Police Chief Executive might carry the title of Chief of Police, Sheriff, Superintendent, Colonel, Director, Commissioner, or other similar rank.

Instructions for answering questions, where necessary, have been included with the specific question or group of questions.

Your participation in this project is an important contribution to the police profession and is sincerely appreciated. This questionnaire should be completed by the individual who most directly supervises a PCE. If a board or group supervises the PCE, the current presiding officer would be most appropriate.

MC			IC	P	Control Number
					S-
A. Name of responding Superior				B. Title	
C. Elected		D. Jurisdiction			E. State
<input type="checkbox"/> Yes <input type="checkbox"/> No					
1. What is the extent of your authority over your Police Chief Executive? (mark one only)					
1 <input type="checkbox"/> I exercise sole direct authority over the Police Chief Executive					
2 <input type="checkbox"/> I am the head of a Board with authority over the Police Chief Executive through majority vote					
3 <input type="checkbox"/> I share authority with another individual or Board					
4 <input type="checkbox"/> Other (specify) _____					
2. If your next Police Chief Executive were to be selected from candidates outside the agency, the advantage would most nearly be: (mark one only)					
1 <input type="checkbox"/> To obtain "new blood" to alleviate adverse institutional conformity					
2 <input type="checkbox"/> To obtain a person not constrained by prior agency relationships					
3 <input type="checkbox"/> To obtain a better qualified person than is available within the agency					
4 <input type="checkbox"/> There would be no advantage					
5 <input type="checkbox"/> Other (specify) _____					
3. How much authority do you think an immediate superior should have in the selection of the Police Chief Executive for his jurisdiction? (mark one only)					
1 <input type="checkbox"/> Have sole authority for selection		2 <input type="checkbox"/> Advise on the selection but have no authority			
2 <input type="checkbox"/> Share authority in the selection		3 <input type="checkbox"/> Have no part in the selection			
3 <input type="checkbox"/> Other (specify) _____					
4. In your opinion, minimum qualifications should be established for Police Chief Executive candidates for: (mark one only)					
1 <input type="checkbox"/> All police agencies					
2 <input type="checkbox"/> Police agencies with 15 or more personnel					
3 <input type="checkbox"/> Police agencies with 75 or more personnel					
4 <input type="checkbox"/> Police agencies with 150 or more personnel					
5 <input type="checkbox"/> No police agencies, minimum qualifications are not necessary					
5. The below listed personal characteristics have been proposed as desirable traits in executives. Please indicate the six characteristics you believe to be most significant for Police Chief Executives to possess. (mark 6 choices)					
1 <input type="checkbox"/> Energy/Initiative	5 <input type="checkbox"/> Integrity/Honesty	9 <input type="checkbox"/> Flexible/Open-Minded			
2 <input type="checkbox"/> Courage/Self-Confidence	6 <input type="checkbox"/> Ethical/Loyal	10 <input type="checkbox"/> Interested/Sincere			
3 <input type="checkbox"/> Alert/Intelligent	7 <input type="checkbox"/> Patience/Self-Control	11 <input type="checkbox"/> Cooperative/Reasonable			
4 <input type="checkbox"/> Judgment/Common Sense	8 <input type="checkbox"/> Forceful/Persuasive	12 <input type="checkbox"/> Other (specify) _____			

6. If minimum qualifications were to be recommended for future Police Chief Executive candidates for the police agency in your jurisdiction, those qualifications should include:

Education (mark one only)

- 1 ☐ College—Masters degree
 2 ☐ College—4 years or Bachelors degree
 3 ☐ College—2 years or Associate degree
 4 ☐ High school diploma
 5 ☐ High school equivalency
 6 ☐ No formal education required

Training (more than one may be marked)

- 7 ☐ Some law enforcement training, such as basic academy, in-service or supervisory training
 8 ☐ Some management or executive development training and seminars at the college level

Experience (more than one may be marked)

- 9 ☐ A minimum number of years of prior law enforcement experience
 10 ☐ Some command or supervisory experience within law enforcement

Alternative Qualifications (more than one may be marked)

- 11 ☐ Training institutes, seminars, and law enforcement academy training as a substitute for some formal education
 12 ☐ On-the-job experience within law enforcement as a substitute for some formal education or training
 13 ☐ Certain types of supervisory positions held or executive experience obtained outside the field of law enforcement as a substitute for some law enforcement experience
 14 ☐ Other (specify) _____

7. Please indicate your opinion of the following statements by placing a mark in the appropriate column. (Please mark one in each of the following 9 categories.)

	1 Strongly Agree	2 Agree	3 Not Sure	4 Disagree	5 Strongly Disagree
1. The next Police Chief Executive in your jurisdiction should be selected from candidates outside as well as inside your agency.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Formal certification programs at the regional or state level would be a good method of verifying the qualifications of Police Chief Executives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. A national academy for training new Police Chief Executives is needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. A regional or state level academy for training new Police Chief Executives is needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Each of the following is a good method of selecting Police Chief Executives.					
5. Civil service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Appointment by political official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Elective	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Seniority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. "Merit" selection process other than above	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8. It has been suggested that qualified Police Chief Executives should be offered fixed-term appointments that would be cancellable only for cause. The purpose would be to provide for management stability and continuity, and a reasonable period of time to achieve desirable results.

In general, what is your opinion regarding this suggestion?

Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

9. If the next Police Chief Executive in your jurisdiction were to be appointed for a fixed-term (with provision for cancellation for cause), what minimum term do you recommend?

Years

10. How important do you believe the following items should be in selecting a Police Chief Executive?
(Please mark one in each of the following 12 categories.)

	1 Very Unimportant	2 Unimportant	3 Not Sure	4 Important	5 Very Important
1. Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Law Enforcement Experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Management Experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Military Experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Physical Fitness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Law Enforcement Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Management Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Personal Appearance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Personality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Professional Reputation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Age	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Other (specify) _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

11. How important is it that your next Police Chief Executive be *knowledgeable* or *experienced* in each of the following management skills? Circle the number in each category which seems most appropriate. The highest degree of importance is "10". A rating of "0" indicates the skill is unimportant.

Unimportant	Important		Very Important		Extremely Important	
A. ORGANIZING AGENCY PERSONNEL AND FUNCTIONS						
0	1	2	3	4	5	6 7 8 9 10
B. FORECASTING, PLANNING AND IMPLEMENTING AGENCY ACTIVITIES						
0	1	2	3	4	5	6 7 8 9 10
C. BUDGETING AND FISCAL MANAGEMENT						
0	1	2	3	4	5	6 7 8 9 10
D. MOTIVATING PERSONNEL AND MAINTAINING HIGH MORALE						
0	1	2	3	4	5	6 7 8 9 10
E. DEVELOPING SUBORDINATES INTO AN EFFECTIVE TEAM						
0	1	2	3	4	5	6 7 8 9 10
F. RELATING TO THE COMMUNITY						
0	1	2	3	4	5	6 7 8 9 10
G. MAINTAINING INTERNAL REVIEW AND CONTROL						
0	1	2	3	4	5	6 7 8 9 10
H. ESTABLISHING AND COMMUNICATING OBJECTIVES AND PRIORITIES						
0	1	2	3	4	5	6 7 8 9 10
I. COORDINATING AGENCY ACTIVITY WITH OTHER ORGANIZATIONS						
0	1	2	3	4	5	6 7 8 9 10
J. COMMUNICATING WITH ALL LEVELS WITHIN THE AGENCY						
0	1	2	3	4	5	6 7 8 9 10
K. RESOLVING EMPLOYEE RELATIONS PROBLEMS						
0	1	2	3	4	5	6 7 8 9 10
L. UTILIZING ADVANCED TECHNOLOGY						
0	1	2	3	4	5	6 7 8 9 10
M. SECURING AND MANAGING GRANT FUNDED PROJECTS						
0	1	2	3	4	5	6 7 8 9 10
N. ADMINISTERING INTERNAL DISCIPLINE						
0	1	2	3	4	5	6 7 8 9 10
O. OTHER (SPECIFY) _____						
0	1	2	3	4	5	6 7 8 9 10

12. Which of the below do you believe should be a part of the formal selection process for Police Chief Executives? (mark one or more)											
1 <input type="checkbox"/> Written application or resume 2 <input type="checkbox"/> Objective examination (multiple choice type) 3 <input type="checkbox"/> Written essay examination 4 <input type="checkbox"/> Oral interview 5 <input type="checkbox"/> Evaluation by peers (professional associates)	6 <input type="checkbox"/> Background investigation 7 <input type="checkbox"/> Performance evaluations from recently held positions 8 <input type="checkbox"/> Simulated management exercises 9 <input type="checkbox"/> Formal selection process is not necessary 10 <input type="checkbox"/> Other _____										
13. It has been suggested that Police Chief Executives should have protection from arbitrary removal by provisions for hearings, removal for cause only, or other reasonable due process methods. In general, what is your opinion regarding this suggestion?											
<table style="margin: auto; border: none;"> <tr> <td style="text-align: center;">Strongly Agree</td> <td style="text-align: center;">Agree</td> <td style="text-align: center;">Not Sure</td> <td style="text-align: center;">Disagree</td> <td style="text-align: center;">Strongly Disagree</td> </tr> <tr> <td style="text-align: center;">1 <input type="checkbox"/></td> <td style="text-align: center;">2 <input type="checkbox"/></td> <td style="text-align: center;">3 <input type="checkbox"/></td> <td style="text-align: center;">4 <input type="checkbox"/></td> <td style="text-align: center;">5 <input type="checkbox"/></td> </tr> </table>		Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>
Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree							
1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>							
14. Police Chief Executives are generally supervised by individuals, boards, and various combinations of individuals and/or boards. In your opinion, supervision of Police Chief Executives is best performed by: (mark one only)											
1 <input type="checkbox"/> One individual 2 <input type="checkbox"/> A board acting through majority vote 3 <input type="checkbox"/> Other (specify) _____	3 <input type="checkbox"/> Any member of a board acting individually 4 <input type="checkbox"/> An individual with concurrence from higher authority										
15. Statements made to the press to inform the public of newsworthy police activities involving public safety should be made by: (mark one or more)											
1 <input type="checkbox"/> Any involved officer with knowledge of the specific activity 2 <input type="checkbox"/> Any employee(s) designated by the Police Chief Executive 3 <input type="checkbox"/> Other (specify) _____	3 <input type="checkbox"/> The Police Chief Executive 4 <input type="checkbox"/> The Police Chief Executive's superior										
16. The Police Chief Executive should have the latitude to publicly express his professional opinions on issues relating to public safety. In general, what is your opinion regarding this statement?											
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Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree							
1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>							
17. How much of a role do you think an immediate superior should have in the termination of the Police Chief Executive in his jurisdiction? (mark one only)											
1 <input type="checkbox"/> Have sole responsibility for termination 2 <input type="checkbox"/> Have a vote in the termination 3 <input type="checkbox"/> Initiate disciplinary charges to be adjudicated by a board	4 <input type="checkbox"/> Advise on the termination but have no vote 5 <input type="checkbox"/> Have no part in the termination 6 <input type="checkbox"/> Other (specify) _____										
18. What factors frequently influence your appraisal of your Police Chief Executive? (mark one or more)											
1 <input type="checkbox"/> Community opinion 2 <input type="checkbox"/> News media opinion 3 <input type="checkbox"/> Criminal justice system members' opinion 4 <input type="checkbox"/> Police employee association opinion 5 <input type="checkbox"/> Level of crime 6 <input type="checkbox"/> Other (specify) _____	6 <input type="checkbox"/> Management of police budget 7 <input type="checkbox"/> Administration of internal discipline 8 <input type="checkbox"/> Quality of police personnel performance 9 <input type="checkbox"/> Personal conduct of Police Chief Executive 10 <input type="checkbox"/> Reported corruption in police agency										
If more than one answer is marked, which factor is most influential?											
12 <input type="checkbox"/> Enter Item Number											
19. What percentage of your time is spent in relation to the activities of the police agency under your supervision? <input type="checkbox"/> Percent	Signature _____										

APPENDIX 2

MAINE CRIMINAL JUSTICE ACADEMY POLICE CHIEF/SHERIFF CERTIFICATION CRITERIA

A. GENERAL PROVISIONS

1. To be eligible for the award of a certificate, an applicant must be:

a. A full-time paid officer of a Maine municipal police department or a Maine county sheriff's department who has been appointed or is about to be appointed as the department head within a Maine police agency, OR

b. A former full-time, paid police officer of a municipal police department, or a county sheriff's department, a State Police Agency, or a federal law enforcement agency who at the time of application is about to be or has been appointed a department head within a Maine police agency, OR

c. A person who is about to be or has been appointed a department head within a Maine police agency who has sufficient education, training and experience to be deemed qualified for the position in the judgement of the Board,

2. All applications for award of the certificate shall be completed on the prescribed Board form entitled "Application for Award Certificate."

3. Each applicant shall attest that he subscribes to Law Enforcement Code of Ethics.

4. The application for a certificate shall provide for the following recommendation of the department head's appointing authority such as a city manager or mayor, except in the case of sheriffs:

"It is recommended that the certificate being applied for be awarded. I certify that the applicant is of good moral character and worthy of the award. My opinion is based upon personal knowledge and/or inquiry and the personnel records presently available to this jurisdiction."

B. EDUCATION AND TRAINING POINTS

1. Education Points:

One semester unit from an accredited institution shall equal one education point.

2. Training Points:

Twenty classroom hours of police training approved by the Board shall equal one training point.

3. When college credit is awarded for police training, it may be counted for either training points or education points, whichever is deemed appropriate by the Board.

C. LAW ENFORCEMENT EXPERIENCE

The acceptability of the required experience shall be determined by the Board.

1. Law enforcement experience as a full-time paid law enforcement officer of a municipal police department, county sheriff's department, State police agency, or Federal law enforcement agency may be acceptable for the full period of experience within these agencies.

2. Full-time paid work experience in other quasi-criminal justice or law enforcement agencies may be accepted at the discretion of the Board.

D. THE EXECUTIVE CERTIFICATE

In addition to the requirements set forth in Section A, General Provisions, all of the following are required for the award of the Executive Certificate.

1. Shall prior to assuming a position of department head,

a. Have acquired the following combination of education and training points combined with the prescribed years of law enforcement experience, OR

b. The college degree designated combined with the prescribed years of law enforcement experience and training points.

Minimum Training Points	25	30	30	40
Minimum Education Points	6	30	Associate Degree	Baccalaureate Degree
Years of Law Enforcement	5	4	3	2

2. Shall have completed satisfactorily within one year of his appointment as a department head the Executive Development Course as structured and provided by the Board of Maine Criminal Justice Academy or a similar course approved by the Board.

3. The Executive Certificate shall include the applicant's name, official title, and name of his jurisdiction, and shall be issued for a period of 2 years and may be renewed upon request. When the holder of an Executive Certificate transfers as a depart-

ment head to another jurisdiction, upon request, a new certificate may be issued. When the holder of an Executive Certificate terminates his employment as a department head, subsequent to February 1, 1974, for more than 60 consecutive days, a new application must be submitted in order to again be certified as a department head.

E. DEFINITIONS

1. "Board" is the Board of Trustees of the Maine Criminal Justice Academy.

2. "Department Head" is a permanent full-time chief of police or sheriff of a Maine law enforcement agency within which there is at least one additional full-time sworn police officer under the direction of such department head.

3. "Accredited Institution." For the purpose of awarding education and training credit acquired in educational institutions, the Board shall recognize only those units awarded in a course from a junior college, college or university accredited as such by:

a. The Department of Education of the State in which the junior college, college or university is located, OR

b. The regional accreditation association.

4. "Full-Time Paid Employee." A person shall be considered to be a *full-time employee chief of police or sheriff* only if:

a. He is employed with the reasonable expectation of earning at least \$2,500 in any one calendar or fiscal year for performing duties as a chief of police or sheriff.

F. This program, with the exception noted in D-3, shall not apply to any full-time paid chief of police or sheriff who is employed on February 1, 1974. However, any police chief or sheriff so employed on February 1, 1974, shall have the option to be so certified.

APPENDIX 3

YEARS IN LAW ENFORCEMENT PRIOR TO APPOINTMENT AS A POLICE CHIEF EXECUTIVE

By Size of Agency Reported in Quartiles

All Agencies

Agency Size	Number of Respondents	Minimum	Q-1	Median	Q-3	Maximum
1000+	56	7.0	18.2	23.7	28.5	37.5
400-999	81	0	16.5	21.0	24.9	34.5
150-399	204	0	14.5	20.0	24.0	33.9
75-149	183	0	13.5	18.5	23.7	33.0
15-74	533	0	8.0	13.0	18.5	45.0
1-14	570	0	2.7	6.0	10.8	33.9
Average Within Quartiles			6.2	12.7	20.0	
Mean	12.3					
Standard Deviation	8.518					
Total Number of Respondents	1,627					

By Size of Agency Reported in Quartiles

City/County Combined

Agency Size	Number of Respondents	Minimum	Q-1	Median	Q-3	Maximum
1000+	30	7.0	18.9	22.5	28.5	36.2
400-999	48	7.6	16.0	21.3	25.9	34.5
150-399	163	0	15.1	20.1	24.2	33.9
75-149	148	2.7	15.0	19.3	24.1	33.0
15-74	434	0	8.9	13.5	19.0	45.0
1-14	424	0	3.1	6.7	11.0	33.9
Average Within Quartiles			6.9	13.5	20.0	
Mean	13.9					
Standard Deviation	8.306					
Total Number of City/County Respondents	1,247					

By Size of Agency Reported in Quartiles
Sheriffs

Agency Size	Number of Respondents	Minimum	Q-1	Median	Q-3	Maximum
1000+	3	—	—	—	—	—
400-999	22	0	15.6	19.9	25.8	30.7
150-399	35	0	10.0	15.9	21.5	27.9
75-149	34	0	7.8	12.1	17.5	31.8
15-74	99	0	5.9	10.0	16.9	30.0
1-14	146	0	0	5.0	9.7	27.6
Average Within Quartiles			3.3	9.0	15.6	
Mean	10.3					
Standard Deviation	8.365					
Total Number of Sheriff Respondents	339					

By Size of Agency Reported in Quartiles
State Agencies

Agency Size	Number of Respondents	Minimum	Q-1	Median	Q-3	Maximum
1000+	23	7.4	19.0	24.0	28.5	37.5
400-999	11	0	19.5	21.8	22.7	26.9
150-399	6	0	13.9	15.9	18.0	25.5
75-149	1	—	—	—	—	—
Average Within Quartiles			17.8	22.0	25.3	
Mean	21.2					
Standard Deviation	7.508					
Total Number of State Respondents	41					

APPENDIX 4

SUMMARIZED DATA FROM QUESTIONNAIRE SURVEYS

Statistical summaries of the responses to the three survey questionnaires follow. The data are organized as follows:

Appendix 4-1: Summarized data from the Police Chief Executive Questionnaire (PCE I).

Appendix 4-2: Summarized data from the Police Chief Executive Followup Questionnaire (PCE II).

Appendix 4-3: Summarized data from the Immediate Superior Questionnaire (Superior).

A standard format was devised for data presentation, and in the majority of tables percent totals are provided for responses to questionnaire items. In the case of scaled items or continuous variables, the response mode is so noted.

The tables that follow include responses to questionnaire items cross-tabulated by type of agency and size of agency. Important findings are reported as appropriate in various commentaries throughout the narrative presentation in this Report.

As in any large scale survey, a small number of returned questionnaires were not used for data processing purposes because of incomplete information, having been filled out by a person other than the intended recipient, or being returned too late for inclusion in the data processing phase.

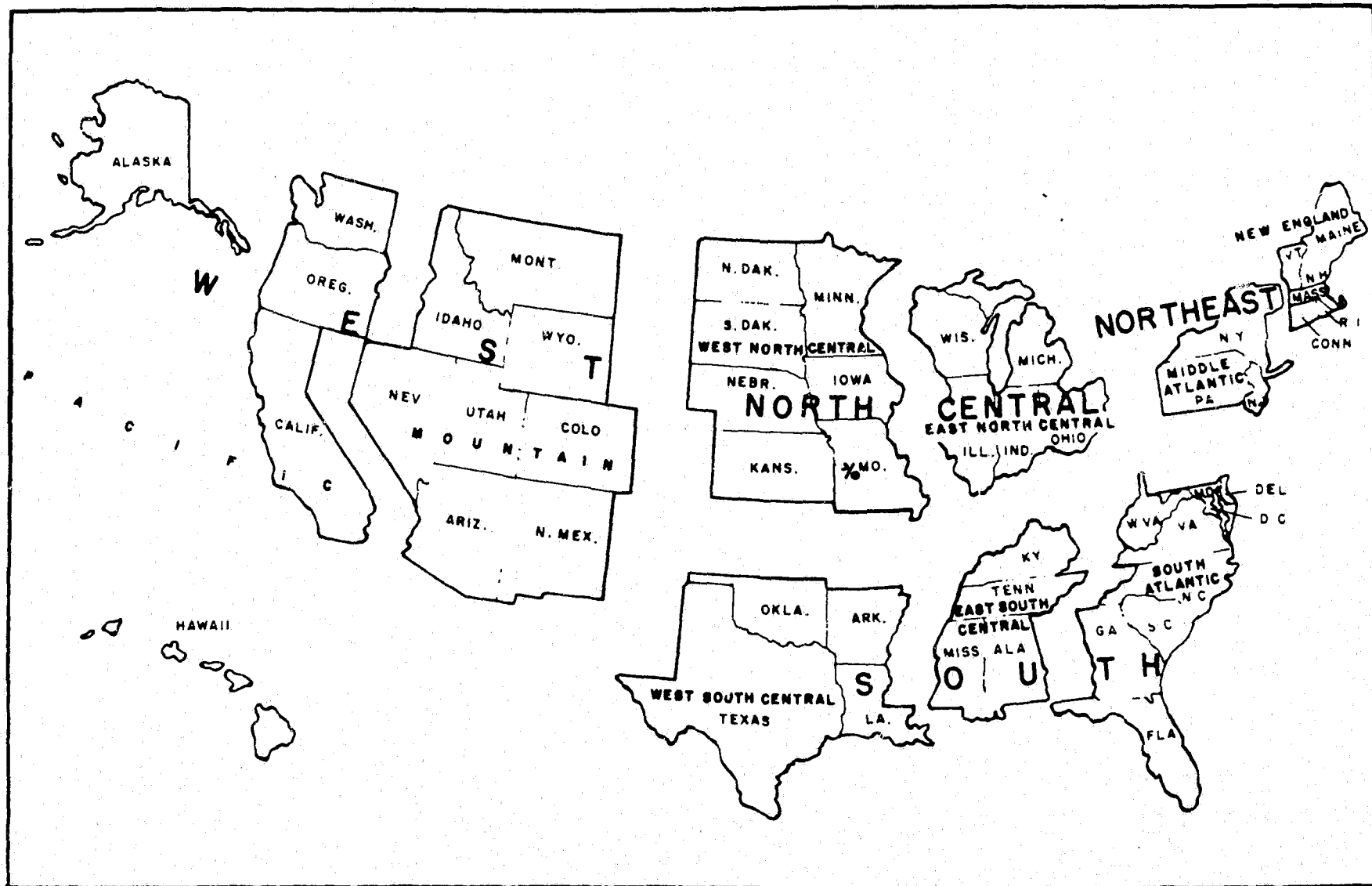
The following symbols were used throughout the tables for the purposes indicated:

* Too few agencies to indicate.

- Inadequate number of responses.

Police Chief Executive Questionnaire

	Totals (1-6)	(1) 1,000+	Agency by Total Personnel				
			(2) 400- 999	(3) 150- 399	(4) 75- 149	(5) 15- 74	(6) 1- 14
Percent Returned	100.0	3.4	5.0	12.6	11.2	32.4	35.4
Number of Data Processed Returned Questionnaires	1,665	57	83	209	188	538	590



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U.S. Bureau of the Census Geographic Divisions

	Totals	New Eng.	Mid. Atlan.	East North Cent.	West North Cent.	South Atlan.	East South Cent.	West South Cent.	Mtn.	Pac.
Total Questionnaires Mailed	2,548	152	384	477	297	415	188	251	158	226
Total Questionnaires Returned	1,701	100	289	334	202	256	88	139	100	193
Total Questionnaires Data Processed	1,665*	100	281	330	298	251	83	135	98	189
Percent Returned	66.8	65.8	75.3	70.0	68.0	61.7	46.8	55.4	63.3	85.4

* 36 invalid responses or questionnaires received too late for processing.

Immediate Superior Questionnaire

	Agency by Total Personnel						
	Totals (1-6)	(1) 1,000+	(2) 400- 999	(3) 150- 399	(4) 75- 149	(5) 15- 74	(6) 1- 14
Percent Returned	100.0	3.5	4.9	15.9	13.3	35.3	27.1
Number of Data Processed Returned Questionnaires	806	30	38	128	107	284	219

Police Chief Executive Followup Questionnaire

	Agency by Total Personnel						
	Totals (1-6)	(1) 1,000+	(2) 400- 999	(3) 150- 399	(4) 75- 149	(5) 15- 74	(6) 1- 14
Percent Returned	100.0	3.5	5.2	13.4	11.7	32.7	33.6
Number of Data Processed Returned Questionnaires	1,342	47	70	180	158	436	451

APPENDIX 4-1: POLICE CHIEF EXECUTIVE QUESTIONNAIRE

QUESTION B:

Age (average)

Average years
of age

(mean years)

[illegible][illegible]

QUESTION H:

How were you selected as police chief executive?

Civil service

TYPE OF AGENCY	% TOTALS
State	10.0
Sheriff	0
City/Co.	25.7
All	19.9

Seniority

TYPE OF AGENCY	% TOTALS
State	0
Sheriff	*
City/Co.	8.3
All	6.2

Election

State	0
Sheriff	96.9
City/Co.	2.2
All	22.2

Appointment
by a group

State	4.8
Sheriff	--
City/Co.	10.9
All	10.5

Political
appointment

State	64.3
Sheriff	2.8
City/Co.	29.0
All	24.4

Appointment
by an individual

State	19.0
Sheriff	0
City/Co.	7.1
All	7.6

Examination

State	0
Sheriff	0
City/Co.	5.0
All	3.7

Other

State	2.4
Sheriff	0
City/Co.	7.1
All	5.5

QUESTION 1:

What is the title of the individual or board who finally selected you?

Mayor or equivalent

TYPE OF AGENCY	% TOTALS
State	0
Sheriff	--
City/Co.	28.2
All	21.2

City council or board

TYPE OF AGENCY	% TOTALS
State	0
Sheriff	0
City/Co.	34.0
All	25.4

City manager

State	0
Sheriff	0
City/Co.	21.7
All	16.2

Police commission or board

State	0
Sheriff	0
City/Co.	6.3
All	4.8

Electorate

State	0
Sheriff	96.0
City/Co.	1.7
All	21.7

Civil service

State	0
Sheriff	0
City/Co.	5.0
All	3.8

Governor

State	71.4
Sheriff	--
City/Co.	0
All	1.9

State legislature

State	2.4
Sheriff	0
City/Co.	--
All	--

QUESTION I:

What is the title of the individual or board who finally selected you?

(continued from preceding page)

County board

TYPE OF AGENCY	% TOTALS
State	0
Sheriff	1.7
City/Co.	--
All	0.5

County administrator

State	0
Sheriff	0.6
City/Co.	--
All	--

Director/
commissioner
of public safety

State	14.3
Sheriff	0
City/Co.	2.9
All	2.6

Other categories

State	11.9
Sheriff	1.2
City/Co.	1.4
All	1.6

QUESTION J:

To whom are you directly responsible?

An individual

TYPE OF AGENCY	% TOTALS
State	95.2
Sheriff	5.6
City/Co.	60.3
All	49.7

A board

State	4.8
Sheriff	29.9
City/Co.	23.0
All	23.9

Both

State	0
Sheriff	1.4
City/Co.	14.4
All	11.2

Other

State	0
Sheriff	63.0
City/Co.	2.5
All	15.2

QUESTION K:

What is the title of that individual or board?

Mayor	TYPE OF AGENCY	% TOTALS	City council or board	TYPE OF AGENCY	% TOTALS
	State	0		State	0
	Sheriff	0		Sheriff	0
	City/Co.	31.0		City/Co.	17.9
	All	23.4		All	13.4
City manager	State	0	County supervisor or board	State	0
	Sheriff	0		Sheriff	28.1
	City/Co.	31.9		City/Co.	--
	All	24.0		All	6.2
Electorate	State	0	Police commission or board	State	2.4
	Sheriff	61.1		Sheriff	--
	City/Co.	0.9		City/Co.	7.1
	All	13.5		All	5.6
Governor	State	57.1	Director/ commissioner of public safety	State	16.7
	Sheriff	3.7		Sheriff	0
	City/Co.	*		City/Co.	10.4
	All	2.3		All	8.3

QUESTION L:

Total years employed as law enforcement officer

QUESTION N:

Time in present position

Time in law enforcement before present position

Total years employed as law enforcement officer

(mean years)

Time in present position

(mean years)

Time in law enforcement before present position

(mean years)

TYPE OF AGENCY	TOTALS
State	25.2
Sheriff	17.0
City/Co.	19.3
All	19.0
State	4.0
Sheriff	6.7
City/Co.	5.4
All	5.7
State	21.2
Sheriff	10.3
City/Co.	13.9
All	13.3

QUESTION M:

Did you advance to police chief executive from within your present agency?

Did you advance to police chief executive from within your present agency?

(yes responses)

TYPE OF AGENCY	% TOTALS
State	88.1
Sheriff	49.0
City/Co.	72.0
All	67.5

QUESTION 0:

Position held immediately prior to your present position

Police chief
executive other
agency

TYPE OF AGENCY	% TOTALS
State	4.9
Sheriff	6.8
City/Co.	6.3
All	6.4

Assistant/deputy
police chief
executive

State	26.8
Sheriff	21.4
City/Co.	19.4
All	20.0

Lower law
enforcement
position

State	39.0
Sheriff	43.1
City/Co.	65.8
All	60.5

Outside law
enforcement

TYPE OF AGENCY	% TOTALS
State	9.8
Sheriff	24.0
City/Co.	6.1
All	9.9

Other type of
law enforcement

State	19.5
Sheriff	4.7
City/Co.	2.4
All	3.3

QUESTION P:

Prior position with what agency?

	TYPE OF AGENCY	% TOTALS		TYPE OF AGENCY	% TOTALS
Same agency	State	85.4	Other government agency	State	4.9
	Sheriff	50.8		Sheriff	8.9
	City/Co.	70.9		City/Co.	2.2
	All	67.0		All	3.6
Other law enforcement agency	State	7.3	Sales	State	0
	Sheriff	25.2		Sheriff	--
	City/Co.	22.9		City/Co.	0
	All	23.0		All	--
Private law enforcement agency	State	0	Business	State	0
	Sheriff	1.5		Sheriff	9.5
	City/Co.	--		City/Co.	1.7
	All	0.6		All	3.2
Military service	State	2.4	School/college	State	0
	Sheriff	0.9		Sheriff	2.2
	City/Co.	1.1		City/Co.	0.8
	All	1.1		All	1.1

How long (in prior position)?

(mean years)

[illegible][illegible]

QUESTION S:

Highest level of education achieved

Master's degree
or higher

TYPE OF AGENCY	% TOTALS
State	7.2
Sheriff	3.1
City/Co.	4.3
All	4.1

High school
diploma

TYPE OF AGENCY	% TOTALS
State	16.7
Sheriff	31.2
City/Co.	23.6
All	25.1

Bachelor's
degree or
higher

State	28.6
Sheriff	12.4
City/Co.	14.2
All	14.2

High school
equivalency

State	2.4
Sheriff	9.1
City/Co.	9.6
All	9.3

Associate
degree or
higher

State	42.9
Sheriff	21.2
City/Co.	25.4
All	25.0

Less than high
school

State	*
Sheriff	7.4
City/Co.	4.5
All	4.9

Have been to
college

State	81.0
Sheriff	52.4
City/Co.	62.3
All	60.7

QUESTION T:
Law degree?
(yes)

State	5.7
Sheriff	3.0
City/Co.	2.5
All	2.7

QUESTION 1:

In your opinion, minimum qualifications should be established for police chief executive candidates for:

1. All agencies

TYPE OF AGENCY	% TOTALS
State	57.1
Sheriff	79.9
City/Co.	76.3
All	76.7

2. Agencies with 15 or more personnel

State	19.0
Sheriff	10.6
City/Co.	12.3
All	12.1

3. Agencies with 75 or more personnel

State	11.9
Sheriff	3.2
City/Co.	5.7
All	5.3

4. Agencies with 150 or more personnel

TYPE OF AGENCY	% TOTALS
State	7.1
Sheriff	1.1
City/Co.	2.2
All	2.1

5. No agencies, minimum qualifications are not necessary

State	4.8
Sheriff	5.2
City/Co.	3.5
All	3.8

QUESTION 2:

If minimum qualifications were to be recommended for future police chief executive candidates for your agency, those qualifications should include:

EDUCATION

1. Master's degree

TYPE OF AGENCY	% TOTALS
State	0
Sheriff	1.2
City/Co.	2.1
All	1.8

4. High school diploma

TYPE OF AGENCY	% TOTALS
State	19.0
Sheriff	40.6
City/Co.	29.7
All	31.6

2. 4 years college or bachelor's degree

State	40.5
Sheriff	15.5
City/Co.	23.2
All	22.1

5. High school equivalency

State	9.5
Sheriff	9.0
City/Co.	6.4
All	6.9

3. 2 years college or associate degree

State	11.9
Sheriff	27.8
City/Co.	33.2
All	31.6

6. Formal education need not be specified

State	19.0
Sheriff	6.0
City/Co.	5.6
All	6.0

QUESTION 2:

If minimum qualifications were to be recommended for future police chief executive candidates for your agency, those qualifications should include:

TRAINING

7. Some law enforcement training, such as basic academy, inservice, or supervisory training

TYPE OF AGENCY	% TOTALS
State	78.6
Sheriff	81.1
City/Co.	77.2
All	78.1

8. Some management or executive development training and seminars at the college level

State	83.3
Sheriff	48.3
City/Co.	67.0
All	63.5

EXPERIENCE

9. A minimum number of years of prior law enforcement experience

State	71.4
Sheriff	56.5
City/Co.	66.7
All	64.7

10. Some command or supervisory experience within law enforcement

State	92.9
Sheriff	57.1
City/Co.	75.6
All	72.7

ALTERNATIVES

11. Training institutes, seminars, and law enforcement academy training as a substitute for formal education

TYPE OF AGENCY	% TOTALS
State	61.9
Sheriff	57.6
City/Co.	58.4
All	58.4

12. On-the-job experience within law enforcement as a substitute for some formal education or training

State	50.0
Sheriff	62.1
City/Co.	61.6
All	61.3

13. Certain types of supervisory positions held or executive experience obtained outside the field of law enforcement as a substitute for some law enforcement experience

State	33.3
Sheriff	24.0
City/Co.	24.5
All	24.7

QUESTION 3:

Please indicate your opinion of the following statements by placing a mark in the appropriate column.

- A. The next police chief executive in your agency should be selected from candidates outside as well as inside your agency.

Strongly agree

TYPE OF AGENCY	% TOTALS
State	7.1
Sheriff	27.1
City/Co.	24.3
All	24.5

Disagree

TYPE OF AGENCY	% TOTALS
State	28.6
Sheriff	17.6
City/Co.	22.5
All	21.6

Agree

State	26.2
Sheriff	43.8
City/Co.	31.9
All	34.2

Strongly disagree

State	28.6
Sheriff	4.5
City/Co.	13.5
All	12.0

Not sure

State	9.5
Sheriff	7.1
City/Co.	7.8
All	7.7

QUESTION 3:

Please indicate your opinion of the following statements by placing a mark in the appropriate column.

B. Each of the following is a good method of selecting police chief executives.

1. Civil service

Strongly agree

TYPE OF AGENCY	% TOTALS
State	5.4
Sheriff	9.7
City/Co.	26.8
All	23.1
State	40.5
Sheriff	36.3
City/Co.	37.5
All	37.3
State	18.9
Sheriff	15.3
City/Co.	11.1
All	12.0

Agree

Not sure

Disagree

Strongly disagree

TYPE OF AGENCY	% TOTALS
State	29.7
Sheriff	27.0
City/Co.	17.1
All	19.2
State	5.4
Sheriff	11.7
City/Co.	7.7
All	8.4

QUESTION 3:

Please indicate your opinion of the following statements by placing a mark in the appropriate column.

B. Each of the following is a good method of selecting police chief executives.

2. Political appointment

Strongly agree

TYPE OF AGENCY	% TOTALS
State	2.7
Sheriff	2.2
City/Co.	1.6
All	1.7
State	29.7
Sheriff	15.2
City/Co.	15.6
All	15.9
State	27.0
Sheriff	13.5
City/Co.	7.9
All	9.5

Disagree

TYPE OF AGENCY	% TOTALS
State	32.4
Sheriff	36.1
City/Co.	23.6
All	26.1
State	8.1
Sheriff	33.0
City/Co.	51.2
All	46.8

Agree

Strongly disagree

Not sure

QUESTION 3:

Please indicate your opinion of the following statements by placing a mark in the appropriate column.

B. Each of the following is a good method of selecting police chief executives.

3. Elective

	Strongly agree			Disagree	
	TYPE OF AGENCY	% TOTALS		TYPE OF AGENCY	% TOTALS
	State	0		State	51.4
	Sheriff	45.8		Sheriff	3.0
	City/Co.	3.2		City/Co.	27.6
	All	12.6		All	22.9
Agree	State	2.7	Strongly disagree	State	40.5
	Sheriff	40.4		Sheriff	3.7
	City/Co.	8.4		City/Co.	51.4
	All	15.1		All	40.6
Not sure	State	5.4			
	Sheriff	7.1			
	City/Co.	9.4			
	All	8.8			

QUESTION 3:

Please indicate your opinion of the following statements by placing a mark in the appropriate column.

B. Each of the following is a good method of selecting police chief executives.

4. Seniority

	TYPE OF AGENCY	% TOTALS		TYPE OF AGENCY	% TOTALS
Strongly agree	State	2.8	Disagree	State	38.9
	Sheriff	4.1		Sheriff	32.0
	City/Co.	5.1		City/Co.	31.0
	All	4.8		All	31.5
Agree	State	19.4	Strongly disagree	State	27.8
	Sheriff	24.5		Sheriff	23.7
	City/Co.	21.4		City/Co.	31.5
	All	21.7		All	30.0
Not sure	State	11.1			
	Sheriff	15.8			
	City/Co.	11.1			
	All	12.0			

QUESTION 3:

Please indicate your opinion of the following statements by placing a mark in the appropriate column.

B. Each of the following is a good method of selecting police chief executives.

5. "Merit" selection process other than above

Strongly agree

TYPE OF AGENCY	% TOTALS
State	31.7
Sheriff	15.9
City/Co.	30.8
All	28.2

Disagree

TYPE OF AGENCY	% TOTALS
State	4.9
Sheriff	13.9
City/Co.	8.3
All	9.1

Agree

State	46.3
Sheriff	42.2
City/Co.	41.6
All	41.7

Strongly disagree

State	2.4
Sheriff	8.4
City/Co.	3.9
All	4.6

Not sure

State	14.6
Sheriff	19.5
City/Co.	15.9
All	16.4

QUESTION 3:

Please indicate your opinion of the following statements by placing a mark in the appropriate column.

- C. Formal certification programs at the regional or State level would be a good method of verifying the qualifications of police chief executives.

Strongly agree

TYPE OF AGENCY	% TOTALS
State	7.5
Sheriff	19.9
City/Co.	19.6
All	19.4

Disagree

TYPE OF AGENCY	% TOTALS
State	15.0
Sheriff	15.3
City/Co.	10.6
All	11.6

Agree

State	47.5
Sheriff	41.3
City/Co.	48.0
All	46.4

Strongly disagree

State	7.5
Sheriff	6.0
City/Co.	4.9
All	5.1

Not sure

State	22.5
Sheriff	17.4
City/Co.	17.1
All	17.4

QUESTION 3:

Please indicate your opinion of the following statements by placing a mark in the appropriate column.

D. A national academy for training new police chief executives is needed.

Strongly agree

TYPE OF AGENCY	% TOTALS
State	17.1
Sheriff	20.3
City/Co.	25.3
All	24.2

Disagree

TYPE OF AGENCY	% TOTALS
State	24.4
Sheriff	24.3
City/Co.	20.3
All	21.2

Agree

State	34.1
Sheriff	31.0
City/Co.	33.6
All	32.9

Strongly disagree

State	2.4
Sheriff	5.0
City/Co.	4.0
All	4.1

Not sure

State	22.0
Sheriff	19.3
City/Co.	17.0
All	17.5

QUESTION 3:

Please indicate your opinion of the following statements by placing a mark in the appropriate column.

E. A regional or State level academy for training new police chief executives is needed.

Strongly agree	TYPE OF AGENCY	% TOTALS	Disagree	TYPE OF AGENCY	% TOTALS
	State	16.7		State	16.7
	Sheriff	37.7		Sheriff	7.0
	City/Co.	33.6		City/Co.	8.7
	All	34.0		All	8.6
Agree	State	66.7	Strongly disagree	State	0
	Sheriff	47.5		Sheriff	1.3
	City/Co.	47.1		City/Co.	1.9
	All	47.6		All	1.8
Not sure	State	0			
	Sheriff	6.6			
	City/Co.	8.7			
	All	8.0			

QUESTION 4:

The below listed personal characteristics have been proposed as desirable traits in executives. Please indicate the six characteristics you believe to be most significant for police chief executives to possess.

1. Energy/
initiative

TYPE OF AGENCY	% TOTALS
State	71.4
Sheriff	55.7
City/Co.	57.2
All	57.2

2. Courage/
self-confidence

State	59.5
Sheriff	54.3
City/Co.	55.8
All	55.6

3. Alert/
intelligent

State	66.7
Sheriff	60.2
City/Co.	61.5
All	61.3

4. Judgment/
commonsense

State	95.2
Sheriff	96.6
City/Co.	93.4
All	94.2

5. Integrity/
honesty

TYPE OF AGENCY	% TOTALS
State	97.6
Sheriff	94.6
City/Co.	96.6
All	96.2

6. Ethical/loyal

State	40.5
Sheriff	28.7
City/Co.	37.0
All	35.2

7. Patience/
self-control

State	38.1
Sheriff	64.2
City/Co.	57.0
All	58.2

8. Forceful/
persuasive

State	28.6
Sheriff	11.6
City/Co.	13.4
All	13.4

QUESTION 4:

The below listed personal characteristics have been proposed as desirable traits in executives. Please indicate the six characteristics you believe to be most significant for police chief executives to possess.

(Continued from preceding page)

	TYPE OF AGENCY	% TOTALS
9. Flexible/ openminded	State	64.3
	Sheriff	53.1
	City/Co.	64.1
	All	61.8
10. Interested/ sincere	State	31.0
	Sheriff	36.9
	City/Co.	30.5
	All	31.6
11. Cooperative/ reasonable	State	23.8
	Sheriff	36.6
	City/Co.	31.0
	All	32.2

QUESTION 5:

In each of the following categories, indicate the severity of problems confronting police chief executives in your region, although not necessarily in your agency. The severest possible rating is "10," a rating of "0" indicates the area poses no problem.

(mean rating)

	TYPE OF AGENCY	TOTALS
A. Obtaining public support	State	3.3
	Sheriff	3.5
	City/Co.	3.4
	All	3.4
B. Recruitment of qualified personnel	State	4.3
	Sheriff	4.2
	City/Co.	3.9
	All	4.0
C. Recruitment of qualified minority personnel	State	6.7
	Sheriff	4.7
	City/Co.	4.7
	All	4.7
D. Retention of qualified personnel	State	3.4
	Sheriff	4.0
	City/Co.	3.5
	All	3.6

QUESTION 5:

In each of the following categories, indicate the severity of problems confronting police chief executives in your region, although not necessarily in your agency. The severest possible rating is "10," a rating of "0" indicates the area poses no problem.

(continued from preceding page)

(mean rating)

	TYPE OF AGENCY	TOTALS		TYPE OF AGENCY	TOTALS
E. Employee labor organizations	State	3.5	I. Excessive involvement of appointed or elected officials in police agency management	State	4.0
	Sheriff	2.1		Sheriff	2.6
	City/Co.	2.9		City/Co.	3.6
	All	2.8		All	3.4
F. Fair coverage by the news media	State	3.8	J. Special interest groups	State	3.0
	Sheriff	2.9		Sheriff	2.5
	City/Co.	3.2		City/Co.	2.7
	All	3.1		All	2.7
G. Administration of internal discipline	State	3.7	K. Agency budget	State	5.7
	Sheriff	2.5		Sheriff	5.7
	City/Co.	2.9		City/Co.	4.8
	All	2.8		All	5.0
H. Crime	State	6.2	L. Civil service systems	State	3.3
	Sheriff	5.7		Sheriff	2.2
	City/Co.	5.2		City/Co.	2.5
	All	5.4		All	2.5

QUESTION 5:

In each of the following categories, indicate the severity of problems confronting police chief executives in your region, although not necessarily in your agency. The severest possible rating is "10," a rating of "0" indicates the area poses no problem.

(continued from preceding page)

(mean rating)

	TYPE OF AGENCY	TOTALS		TYPE OF AGENCY	TOTALS
M. Prosecutors' offices	State	3.9	Q. Processing of adults by courts	State	6.3
	Sheriff	3.1		Sheriff	5.1
	City/Co.	3.6		City/Co.	6.0
	All	3.5		All	5.8
N. Corrections systems	State	5.2	R. Corruption inside police agencies	State	2.3
	Sheriff	5.0		Sheriff	1.3
	City/Co.	5.3		City/Co.	1.4
	All	5.2		All	1.4
O. Administration of probation	State	5.1	S. Corruption inside local political systems	State	3.3
	Sheriff	4.8		Sheriff	1.9
	City/Co.	5.4		City/Co.	2.5
	All	5.2		All	2.4
P. Processing of juveniles by courts	State	5.5	T. Community indifference to corruption	State	3.7
	Sheriff	4.9		Sheriff	2.3
	City/Co.	5.7		City/Co.	2.7
	All	5.5		All	2.7

QUESTION 6:

Please estimate the percentage of time you spend on the duties involved in your position:
(need not total 100%)

1. Participation in operational field activities

TYPE OF AGENCY	% TOTALS
State	11.0
Sheriff	29.2
City/Co.	23.8
All	24.6

2. Public relations

State	13.1
Sheriff	14.4
City/Co.	13.7
All	13.8

3. Interaction with local officials

State	9.5
Sheriff	8.2
City/Co.	11.4
All	10.7

4. Internal management

TYPE OF AGENCY	% TOTALS
State	47.8
Sheriff	28.6
City/Co.	37.1
All	35.6

5. Interaction with agencies in the criminal justice system

State	10.9
Sheriff	11.8
City/Co.	7.9
All	8.8

QUESTION 7:

If it became advisable to select the next police chief executive in your jurisdiction from outside the agency, this would:
(mark one or more)

1. Present no problems

TYPE OF AGENCY	TOTALS
State	19.0
Sheriff	40.6
City/Co.	27.4
All	29.8

2. Be harmful to the morale of agency personnel

State	83.3
Sheriff	36.7
City/Co.	59.9
All	55.4

3. Be difficult due to pension considerations

State	26.2
Sheriff	4.8
City/Co.	13.6
All	12.0

4. Present problems in the area of community acceptance

State	21.4
Sheriff	25.4
City/Co.	29.4
All	28.2

QUESTION 8:

Considering those conditions which might jeopardize a police chief executive's position, which do you regard as very serious?
(mark one or more)

1. Level of crime

TYPE OF AGENCY	TOTALS
State	23.8
Sheriff	26.5
City/Co.	24.2
All	24.5

2. Occurrence of very serious crime(s) in community

State	16.7
Sheriff	18.3
City/Co.	18.0
All	18.0

3. Misconduct or corruption of agency personnel

State	88.1
Sheriff	50.0
City/Co.	55.9
All	55.5

4. Management/employee relations

State	59.5
Sheriff	24.4
City/Co.	32.3
All	31.5

QUESTION 8:

Considering those conditions which might jeopardize a police chief executive's position, which do you regard as very serious?
(mark one or more)

(continued from preceding page)

	TYPE OF AGENCY	% TOTALS
5. Lack of sufficient resources (manpower, budget)	State	38.1
	Sheriff	55.2
	City/Co.	42.2
	All	44.9
6. Governmental political pressure	State	38.1
	Sheriff	18.3
	City/Co.	44.1
	All	38.6
7. Special interest pressure	State	14.3
	Sheriff	11.6
	City/Co.	18.5
	All	17.0

	TYPE OF AGENCY	% TOTALS
8. Lack of community support	State	47.6
	Sheriff	38.7
	City/Co.	39.6
	All	39.5
9. Internal politics	State	31.0
	Sheriff	18.6
	City/Co.	33.2
	All	30.2

Public hearings, removal for cause only, and due process are methods to protect police chief executives from arbitrary and unjustified removal.

B. In your opinion, does the lack of protection from arbitrary and unjustified removal affect a police chief executive's capability to fulfill his responsibilities objectively and independently?

No

[illegible]

Slightly

Seriously

Very seriously

TYPE OF AGENCY	% TOTALS
State	17.1
Sheriff	28.6
City/Co.	13.3
All	16.4
State	24.4
Sheriff	26.3
City/Co.	22.8
All	23.5
State	36.6
Sheriff	24.4
City/Co.	30.0
All	29.1
State	22.0
Sheriff	20.8
City/Co.	33.8
All	31.1

QUESTION 10:

In your opinion, what factors frequently influence an immediate superior's appraisal of his police chief executive?
(mark one or more)

1. Community opinion

TYPE OF AGENCY	% TOTALS
State	69.0
Sheriff	62.4
City/Co.	66.4
All	65.7

2. News media opinion

State	42.9
Sheriff	24.9
City/Co.	24.1
All	24.9

3. Criminal justice system members' opinion

State	21.4
Sheriff	9.2
City/Co.	9.9
All	10.0

4. Police employee association opinion

State	19.0
Sheriff	13.6
City/Co.	19.9
All	18.6

5. Level of crime

TYPE OF AGENCY	% TOTALS
State	31.0
Sheriff	34.9
City/Co.	35.3
All	35.1

6. Management of agency budget

State	57.1
Sheriff	29.0
City/Co.	36.0
All	35.1

7. Administration of internal discipline

State	35.7
Sheriff	31.7
City/Co.	42.6
All	40.2

8. Quality of agency personnel performance

State	76.2
Sheriff	49.7
City/Co.	59.1
All	57.5

QUESTION 10:

In your opinion, what factors frequently influence an immediate superior's appraisal of his police chief executive?

(continued from preceding page)

If more than one answer is marked, which factor is most influential?

9. Personal conduct of police chief executive

TYPE OF AGENCY	% TOTALS
State	64.3
Sheriff	57.4
City/Co.	64.5
All	63.0

10. Reported corruption in agency

State	45.2
Sheriff	26.0
City/Co.	29.2
All	29.0

1. Community opinion

TYPE OF AGENCY	% TOTALS
State	20.5
Sheriff	36.0
City/Co.	30.9
All	31.6

2. News media opinion

State	10.3
Sheriff	6.1
City/Co.	4.2
All	4.7

3. Criminal justice system members' opinion

State	0
Sheriff	2.2
City/Co.	0.5
All	0.8

4. Police employee association opinion

State	5.1
Sheriff	1.3
City/Co.	2.5
All	2.4

QUESTION 10:

In your opinion, what factors frequently influence an immediate superior's appraisal of his police chief executive?

If more than one answer is marked, which factor is most influential?

(continued from preceding page)

	TYPE OF AGENCY	% TOTALS
5. Level of crime	State	2.6
	Sheriff	6.1
	City/Co.	6.3
	All	6.0
6. Management of agency budget	State	7.7
	Sheriff	6.4
	City/Co.	4.2
	All	4.7
7. Administration of internal discipline	State	7.7
	Sheriff	6.4
	City/Co.	5.7
	All	5.7

	TYPE OF AGENCY	% TOTALS
8. Quality of agency personnel performance	State	28.2
	Sheriff	13.1
	City/Co.	21.1
	All	19.7
9. Personal conduct of police chief executive	State	5.1
	Sheriff	16.6
	City/Co.	17.5
	All	17.0
10. Reported corruption in agency	State	12.8
	Sheriff	4.8
	City/Co.	4.1
	All	4.5

QUESTION 10:

In your opinion, what factors frequently influence an immediate superior's appraisal of his police chief executive?

Which factor should be most influential?

1. Community opinion

TYPE OF AGENCY	% TOTALS
State	17.5
Sheriff	10.8
City/Co.	9.1
All	9.7

2. News media opinion

State	0
Sheriff	1.5
City/Co.	0.8
All	0.9

3. Criminal justice system members' opinion

State	2.5
Sheriff	1.2
City/Co.	1.6
All	1.6

4. Police employee association opinion

State	2.5
Sheriff	0.8
City/Co.	1.4
All	1.3

5. Level of crime

TYPE OF AGENCY	% TOTALS
State	2.5
Sheriff	11.6
City/Co.	9.2
All	9.4

6. Management of agency budget

State	0
Sheriff	3.5
City/Co.	1.5
All	1.8

7. Administration of internal discipline

State	0
Sheriff	4.2
City/Co.	3.6
All	3.5

8. Quality of agency personnel performance

State	65.0
Sheriff	40.9
City/Co.	50.0
All	48.9

In your opinion, what factors frequently influence an immediate superior's appraisal of his police chief executive?

Which factor should be most influential?

9. Personal
conduct of
police chief
executive

[illegible]

10. Reported
corruption
in agency

[illegible]

APPENDIX 4-2: POLICE CHIEF EXECUTIVE FOLLOWUP QUESTIONNAIRE

QUESTION 1:

How much authority do you think an immediate superior should have in the selection of the police chief executive in his jurisdiction?
(mark one only)

1. Have sole authority for selection

TYPE OF AGENCY	% TOTALS
State	44.4
Sheriff	18.6
City/Co.	21.1
All	21.3

2. Share authority
in the
selection

State	50.0
Sheriff	61.5
City/Co.	61.7
All	61.3

3. Advise on the selection but have no authority

TYPE OF AGENCY	% TOTALS
State	5.6
Sheriff	12.1
City/Co.	12.1
All	12.0

4. Have no part
in the
selection

State	0
Sheriff	4.5
City/Co.	2.5
All	2.8

QUESTION 2:

In your opinion, should the selection of a nonelected police chief executive be formally confirmed by some authority other than the body or individual making the selection?
(mark one or more)

1. Yes, by an elected official

TYPE OF AGENCY	% TOTALS
State	11.1
Sheriff	8.8
City/Co.	5.9
All	6.5

2. Yes, by an elected body

State	47.2
Sheriff	59.4
City/Co.	59.6
All	59.1

3. Yes, by an appointed official

State	5.6
Sheriff	2.4
City/Co.	3.4
All	3.3

4. Yes, by an appointed body

TYPE OF AGENCY	% TOTALS
State	19.4
Sheriff	19.7
City/Co.	15.5
All	16.4

5. No, confirmation is not advisable

State	27.8
Sheriff	12.4
City/Co.	17.9
All	17.1

Prior research indicates wide variances in the amount of job protection afforded police chief executives. Additional research is needed to determine a fair and equitable combination of protection and probation most desired by police chief executives. Which of the following best describes your opinion regarding probation for police chief executives?
(mark one only)

2. A police chief executive should be required to satisfactorily complete a probation period; then he should be given a tenured appointment with protection by due process.

3. There should be no probationary period; a police chief executive should have full protection by due process immediately upon assuming office.

[illegible]

QUESTION 4:

How important do you believe the following items should be in selecting a police chief executive? (Please mark one in each of the following categories.)

1. Education

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	2.8
	Sheriff	2.4
	City/Co.	1.0
	All	1.3
Unimportant	State	0
	Sheriff	2.0
	City/Co.	1.2
	All	1.2
Not sure	State	0
	Sheriff	2.4
	City/Co.	1.2
	All	1.4
Important	State	77.8
	Sheriff	57.7
	City/Co.	61.5
	All	61.4
Very important	State	19.4
	Sheriff	35.4
	City/Co.	35.3
	All	34.8

2. Law enforcement experience

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	2.8
	Sheriff	5.2
	City/Co.	1.3
	All	2.0
Unimportant	State	0
	Sheriff	1.6
	City/Co.	--
	All	0.6
Not sure	State	0
	Sheriff	1.6
	City/Co.	0.7
	All	0.8
Important	State	38.9
	Sheriff	22.0
	City/Co.	31.9
	All	30.3
Very important	State	58.3
	Sheriff	69.6
	City/Co.	65.8
	All	66.3

QUESTION 4:

How important do you believe the following items should be in selecting a police chief executive? (Please mark one in each of the following categories.)

3. Management experience

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	0
	Sheriff	0.8
	City/Co.	0.6
	All	0.6
Unimportant	State	0
	Sheriff	1.6
	City/Co.	1.9
	All	1.8
Not sure	State	0
	Sheriff	4.1
	City/Co.	3.2
	All	3.3
Important	State	47.2
	Sheriff	53.5
	City/Co.	58.4
	All	57.3
Very important	State	52.8
	Sheriff	40.0
	City/Co.	36.0
	All	37.1

4. Military experience

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	2.9
	Sheriff	8.2
	City/Co.	8.0
	All	7.9
Unimportant	State	48.6
	Sheriff	53.1
	City/Co.	45.2
	All	46.8
Not sure	State	28.6
	Sheriff	13.5
	City/Co.	18.9
	All	18.0
Important	State	20.0
	Sheriff	23.3
	City/Co.	25.8
	All	25.2
Very important	State	0
	Sheriff	2.0
	City/Co.	2.4
	All	2.1

QUESTION 4:

How important do you believe the following items should be in selecting a police chief executive? (Please mark one in each of the following categories.)

5. Physical fitness

	TYPE OF AGENCY	% TOTALS
Very important	State	0
	Sheriff	2.0
	City/Co.	0.7
	All	0.9
Unimportant	State	11.1
	Sheriff	6.1
	City/Co.	5.9
	All	6.1
Not sure	State	5.6
	Sheriff	8.2
	City/Co.	7.4
	All	7.5
Important	State	83.3
	Sheriff	65.6
	City/Co.	71.8
	All	71.0
Very important	State	0
	Sheriff	18.0
	City/Co.	14.6
	All	14.6

6. Law enforcement training

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	2.8
	Sheriff	3.3
	City/Co.	0.9
	All	1.4
Unimportant	State	0
	Sheriff	0.4
	City/Co.	--
	All	--
Not sure	State	2.8
	Sheriff	2.4
	City/Co.	1.0
	All	1.3
Important	State	61.1
	Sheriff	36.2
	City/Co.	41.6
	All	41.2
Very important	State	33.3
	Sheriff	57.7
	City/Co.	56.5
	All	56.0

QUESTION 4:

How important do you believe the following items should be in selecting a police chief executive? (Please mark one in each of the following categories.)

7. Management training

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	0
	Sheriff	0.8
	City/Co.	0.7
	All	0.7
Unimportant	State	0
	Sheriff	2.5
	City/Co.	2.4
	All	2.4
Not sure	State	0
	Sheriff	5.4
	City/Co.	5.7
	All	5.6
Important	State	45.7
	Sheriff	58.5
	City/Co.	53.6
	All	54.1
Very important	State	54.3
	Sheriff	32.8
	City/Co.	37.8
	All	37.3

8. Personal appearance

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	0
	Sheriff	2.0
	City/Co.	0.8
	All	1.0
Unimportant	State	2.8
	Sheriff	2.0
	City/Co.	2.8
	All	2.6
Not sure	State	5.6
	Sheriff	3.2
	City/Co.	3.3
	All	3.4
Important	State	80.6
	Sheriff	56.3
	City/Co.	57.1
	All	57.6
Very important	State	11.1
	Sheriff	36.4
	City/Co.	36.2
	All	35.4

QUESTION 4:

How important do you believe the following items should be in selecting a police chief executive? (Please mark one in each of the following categories.)

9. Personality

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	0
	Sheriff	2.4
	City/Co.	0.9
	All	1.1
Unimportant	State	2.9
	Sheriff	0.8
	City/Co.	0.8
	All	0.8
Not sure	State	0
	Sheriff	2.9
	City/Co.	2.6
	All	2.6
Important	State	77.1
	Sheriff	45.7
	City/Co.	50.6
	All	50.5
Very important	State	20.0
	Sheriff	48.2
	City/Co.	45.2
	All	44.9

10. Professional reputation

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	2.8
	Sheriff	2.4
	City/Co.	1.2
	All	1.4
Unimportant	State	2.8
	Sheriff	2.4
	City/Co.	1.2
	All	1.4
Not sure	State	0
	Sheriff	4.1
	City/Co.	3.0
	All	3.1
Important	State	25.0
	Sheriff	33.7
	City/Co.	31.8
	All	31.9
Very important	State	69.4
	Sheriff	57.3
	City/Co.	63.0
	All	62.1

QUESTION 4:

How important do you believe the following items should be in selecting a police chief executive? (Please mark one in each of the following categories.)

11. Age

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	0
	Sheriff	2.4
	City/Co.	2.4
	All	2.4
Unimportant	State	19.4
	Sheriff	25.7
	City/Co.	29.3
	All	28.2
Not sure	State	25.0
	Sheriff	13.5
	City/Co.	19.6
	All	18.5
Important	State	55.6
	Sheriff	51.4
	City/Co.	44.3
	All	46.1
Very important	State	0
	Sheriff	6.9
	City/Co.	4.6
	All	4.9

QUESTION 5:

How important is it that a police chief executive be knowledgeable or experienced in each of the following management skills? Circle the number in each category which seems most appropriate. The highest degree of importance is "10". A rating of "0" indicates the skill is unimportant.

(mean rating)

	TYPE OF AGENCY	% TOTALS
A. Organizing agency personnel and functions	State	8.7
	Sheriff	7.9
	City/Co.	8.0
	All	8.0
B. Forecasting, planning and implementing agency activities	State	8.2
	Sheriff	7.5
	City/Co.	7.8
	All	7.8
C. Budgeting and fiscal management	State	7.6
	Sheriff	7.9
	City/Co.	7.7
	All	7.7
D. Motivating personnel and maintaining high morale	State	8.5
	Sheriff	8.6
	City/Co.	8.7
	All	8.7
E. Developing subordinates into an effective team	State	8.6
	Sheriff	8.3
	City/Co.	8.6
	All	8.6

QUESTION 5:

How important is it that a police chief executive be knowledgeable or experienced in each of the following management skills? Circle the number in each category which seems most appropriate. The highest degree of importance is "10." A rating of "0" indicates the skill is unimportant.

(mean rating)

	TYPE OF AGENCY	TOTALS
F. Relating to the community	State	7.4
	Sheriff	8.4
	City/Co.	8.4
	All	8.4
G. Maintaining internal review and control	State	7.4
	Sheriff	7.7
	City/Co.	8.0
	All	7.9
H. Establishing and communicating objectives and priorities	State	8.2
	Sheriff	7.6
	City/Co.	7.9
	All	7.8
I. Coordinating agency activity with other organizations	State	6.8
	Sheriff	7.5
	City/Co.	7.1
	All	7.2
J. Communicating with all levels within the agency	State	7.8
	Sheriff	8.1
	City/Co.	7.9
	All	7.9

	TYPE OF AGENCY	TOTALS
K. Resolving employee relations problems	State	7.4
	Sheriff	7.8
	City/Co.	7.7
	All	7.7
L. Utilizing advanced technology	State	7.0
	Sheriff	7.2
	City/Co.	7.2
	All	7.2
M. Securing and managing grant funded projects	State	5.4
	Sheriff	6.4
	City/Co.	6.2
	All	6.2
N. Administering internal discipline	State	7.1
	Sheriff	7.8
	City/Co.	8.0
	All	7.9

It has been suggested that qualified police chief executives should be offered fixed term appointments that would be cancellable only for cause. The purpose would be to provide for management stability and continuity, and a reasonable period of time to achieve desirable results.

Strongly agree

TYPE OF AGENCY	% TOTALS
State	50.0
Sheriff	37.9
City/Co.	36.0
All	36.8
State	30.6
Sheriff	40.7
City/Co.	27.8
All	30.2
State	8.3
Sheriff	9.3
City/Co.	13.5
All	12.5
State	11.1
Sheriff	9.7
City/Co.	15.2
All	13.9
State	0
Sheriff	2.4
City/Co.	7.7
All	6.6

If the next police chief executive in your jurisdiction were to be appointed for a fixed term (with the provision for cancellation for cause), what minimum term do you recommend?

(mean years)

[illegible]

QUESTION 8:

Which of the below do you believe should be a part of the formal selection process for police chief executives?
(mark one or more)

	TYPE OF AGENCY	% TOTALS		TYPE OF AGENCY	% TOTALS
1. Written application or resume	State	80.6	6. Background investigation	State	80.6
	Sheriff	75.6		Sheriff	90.4
	City/Co.	78.6		City/Co.	88.1
	All	78.1		All	88.5
2. Objective examination (multiple choice type)	State	8.3	7. Performance evaluations from recently held positions	State	75.0
	Sheriff	16.5		Sheriff	72.7
	City/Co.	19.8		City/Co.	70.9
	All	18.8		All	71.2
3. Written essay examination	State	2.8	8. Simulated management exercises	State	5.6
	Sheriff	12.4		Sheriff	7.6
	City/Co.	13.1		City/Co.	12.9
	All	12.6		All	11.6
4. Oral interview	State	86.1	9. Formal selection process is not necessary	State	8.3
	Sheriff	84.3		Sheriff	1.6
	City/Co.	89.4		City/Co.	1.8
	All	88.4		All	2.0
5. Evaluation by peers (professional associates)	State	25.0			
	Sheriff	38.6			
	City/Co.	40.2			
	All	39.5			

QUESTION 9:

Research to date has revealed that many police chief executives and their superiors believe that appointment based on merit is a good method for selecting police chief executives. Please indicate the selection methods which you most readily identify with "merit selection."
(mark one or more)

1. Evaluation by testing that is in accordance with permanent rules established by a governmental authority

TYPE OF AGENCY	% TOTALS
State	22.2
Sheriff	33.7
City/Co.	33.7
All	33.3

2. Evaluation by testing that is unrestricted by previously established rules

State	13.9
Sheriff	20.4
City/Co.	16.2
All	17.0

3. Evaluation based solely on past performance, without testing

State	52.8
Sheriff	36.8
City/Co.	39.9
All	39.7

4. Judgment of elected official(s)

State	11.1
Sheriff	19.2
City/Co.	18.7
All	18.5

5. Judgment of appointed official(s)

TYPE OF AGENCY	% TOTALS
State	8.3
Sheriff	8.0
City/Co.	14.0
All	12.6

6. Evaluation by selection board or committee

State	47.2
Sheriff	47.6
City/Co.	46.9
All	47.0

7. Evaluation by outside professional consultant(s)

State	13.9
Sheriff	14.0
City/Co.	20.8
All	19.4

QUESTION 10:

It has been suggested that police chief executives should have protection from arbitrary removal by provisions for hearings, removal for cause only, or other reasonable due process methods.

In general, what is your opinion regarding this suggestion?

	TYPE OF AGENCY	% TOTALS
1. Strongly agree	State	41.7
	Sheriff	40.2
	City/Co.	65.9
	All	60.5
2. Agree	State	44.4
	Sheriff	42.6
	City/Co.	25.1
	All	28.8
3. Not sure	State	0
	Sheriff	8.4
	City/Co.	4.3
	All	5.0
4. Disagree	State	13.9
	Sheriff	6.4
	City/Co.	4.0
	All	4.7
5. Strongly disagree	State	0
	Sheriff	2.4
	City/Co.	0.8
	All	1.1

QUESTION 11:

How much of a role do you think an immediate superior should have in the termination of the police chief executive in his jurisdiction? (mark one only)

	TYPE OF AGENCY	% TOTALS
1. Have sole responsibility for termination	State	41.7
	Sheriff	13.3
	City/Co.	11.5
	All	12.7
2. Have a vote in the termination	State	5.6
	Sheriff	24.5
	City/Co.	17.3
	All	18.3
3. Initiate disciplinary charges to be adjudicated by a board	State	38.9
	Sheriff	42.2
	City/Co.	54.4
	All	51.7

QUESTION 11:

How much of a role do you think an immediate superior should have in the termination of the police chief executive in his jurisdiction? (mark one only)

4. Advise on the termination but have no vote

5. Have no part in the termination

TYPE OF AGENCY	% TOTALS
State	13.9
Sheriff	12.4
City/Co.	11.4
All	11.7
State	0
Sheriff	4.0
City/Co.	2.9
All	3.0

QUESTION 12:

Police chief executives are generally supervised by individuals, boards, and various combinations of individuals and/or boards. In your opinion, supervision of police chief executives is best performed by: (mark one only)

1. One individual

2. A board acting through majority vote

3. Any member of a board acting individually

4. An individual with concurrence from higher authority

TYPE OF AGENCY	% TOTALS
State	61.1
Sheriff	20.6
City/Co.	39.8
All	37.1
State	27.8
Sheriff	64.9
City/Co.	45.3
All	48.3
State	0
Sheriff	--
City/Co.	--
All	--
State	11.1
Sheriff	10.1
City/Co.	12.7
All	12.1

QUESTION 13:

Statements made to the press to inform the public of newsworthy police activities involving public safety should be made by:
(mark one or more)

	TYPE OF AGENCY	% TOTALS
1. Any involved officer with knowledge of the specific activity	State	16.7
	Sheriff	18.4
	City/Co.	13.6
	All	14.6
2. Any employee(s) designated by the police chief executive	State	80.6
	Sheriff	56.8
	City/Co.	67.0
	All	65.5
3. The police chief executive	State	44.4
	Sheriff	45.2
	City/Co.	49.8
	All	48.7
4. The police chief executive's superior	State	0
	Sheriff	7.6
	City/Co.	5.5
	All	5.6

QUESTION 14:

The police chief executive should have the latitude to publicly express his professional opinions on issues relating to public safety.

In general, what is your opinion regarding this statement?

	TYPE OF AGENCY	% TOTALS
1. Strongly agree	State	61.1
	Sheriff	50.0
	City/Co.	60.6
	All	58.7
2. Agree	State	38.9
	Sheriff	47.2
	City/Co.	37.1
	All	39.0
3. Not sure	State	0
	Sheriff	2.4
	City/Co.	1.8
	All	1.9
4. Disagree	State	0
	Sheriff	--
	City/Co.	0.5
	All	0.5
5. Strongly disagree	State	0
	Sheriff	0
	City/Co.	0
	All	0

QUESTION 15:

Police chief executives may use a variety of methods to learn of internal problems within their agencies. Some methods may be used infrequently or only under specific circumstances; other methods may be used regularly. Please indicate your opinion of the value of the following methods for police chief executives to personally learn of internal problems. (Please mark one in each of the following categories.)

A. Formal meetings with
high-ranking personnel

B. Formal meetings with
low-ranking personnel

	TYPE OF AGENCY	% TOTALS
Very poor	State	5.6
	Sheriff	0.8
	City/Co.	1.1
	All	1.1
Poor	State	8.3
	Sheriff	11.1
	City/Co.	8.9
	All	9.3
Not sure	State	2.8
	Sheriff	5.8
	City/Co.	5.5
	All	5.5
Good	State	52.8
	Sheriff	57.6
	City/Co.	55.3
	All	55.6
Very good	State	30.6
	Sheriff	24.7
	City/Co.	29.4
	All	28.5

	TYPE OF AGENCY	% TOTALS
Very poor	State	2.9
	Sheriff	2.1
	City/Co.	1.9
	All	1.9
Poor	State	17.1
	Sheriff	14.1
	City/Co.	12.4
	All	12.9
Not sure	State	22.9
	Sheriff	10.0
	City/Co.	11.2
	All	11.2
Good	State	45.7
	Sheriff	55.6
	City/Co.	50.9
	All	51.6
Very good	State	11.4
	Sheriff	18.3
	City/Co.	23.8
	All	22.4

QUESTION 15:

Police chief executives may use a variety of methods to learn of internal problems within their agencies. Some methods may be used infrequently or only under specific circumstances; other methods may be used regularly. Please indicate your opinion of the value of the following methods for police chief executives to personally learn of internal problems. (Please mark one in each of the following categories.)

C. Formal meetings that include personnel from many or all ranks

D. Informal contact with individual officers of all ranks

	TYPE OF AGENCY	% TOTALS
Very poor	State	5.7
	Sheriff	1.7
	City/Co.	3.5
	All	3.2
Poor	State	22.9
	Sheriff	9.5
	City/Co.	16.1
	All	15.1
Not sure	State	25.7
	Sheriff	11.6
	City/Co.	13.6
	All	13.6
Good	State	28.6
	Sheriff	48.1
	City/Co.	41.7
	All	42.5
Very good	State	17.1
	Sheriff	29.0
	City/Co.	25.0
	All	25.6

	TYPE OF AGENCY	% TOTALS
Very poor	State	0
	Sheriff	3.7
	City/Co.	3.6
	All	3.5
Poor	State	0
	Sheriff	7.4
	City/Co.	12.4
	All	11.1
Not sure	State	2.9
	Sheriff	7.9
	City/Co.	10.3
	All	9.6
Good	State	51.4
	Sheriff	51.2
	City/Co.	44.7
	All	46.1
Very good	State	45.7
	Sheriff	29.8
	City/Co.	29.2
	All	29.7

QUESTION 15:

Police chief executives may use a variety of methods to learn of internal problems within their agencies. Some methods may be used infrequently or only under specific circumstances; other methods may be used regularly. Please indicate your opinion of the value of the following methods for police chief executives to personally learn of internal problems. (Please mark one in each of the following categories.)

E. An "open door" policy

F. Conduct inspections

	TYPE OF AGENCY	% TOTALS
Very poor	State	0
	Sheriff	2.8
	City/Co.	4.8
	All	4.2
Poor	State	8.3
	Sheriff	12.6
	City/Co.	12.2
	All	12.2
Not sure	State	13.9
	Sheriff	11.7
	City/Co.	12.0
	All	11.9
Good	State	50.0
	Sheriff	38.9
	City/Co.	38.8
	All	39.1
Very good	State	27.8
	Sheriff	34.0
	City/Co.	32.5
	All	32.7

	TYPE OF AGENCY	% TOTALS
Very poor	State	2.9
	Sheriff	2.9
	City/Co.	2.0
	All	2.1
Poor	State	2.9
	Sheriff	17.4
	City/Co.	12.4
	All	13.0
Not sure	State	17.6
	Sheriff	16.1
	City/Co.	19.1
	All	18.5
Good	State	58.8
	Sheriff	47.5
	City/Co.	51.4
	All	50.8
Very good	State	17.6
	Sheriff	16.1
	City/Co.	15.6
	All	15.5

QUESTION 15:

Police chief executives may use a variety of methods to learn of internal problems within their agencies. Some methods may be used infrequently or only under specific circumstances; other methods may be used regularly. Please indicate your opinion of the value of the following methods for police chief executives to personally learn of internal problems. (Please mark one in each of the following categories.)

G. Suggestion boxes

	TYPE OF AGENCY	TOTALS
Very poor	State	5.7
	Sheriff	9.2
	City/Co.	9.8
	All	9.6
Poor	State	17.1
	Sheriff	30.7
	City/Co.	26.9
	All	27.4
Not sure	State	34.3
	Sheriff	18.1
	City/Co.	22.6
	All	22.1
Good	State	40.0
	Sheriff	35.3
	City/Co.	33.3
	All	33.6
Very good	State	2.9
	Sheriff	6.7
	City/Co.	7.8
	All	7.4

H. Monitor complaints against agency personnel

	TYPE OF AGENCY	TOTALS
Very poor	State	0
	Sheriff	2.1
	City/Co.	3.1
	All	2.8
Poor	State	11.1
	Sheriff	16.0
	City/Co.	10.7
	All	11.6
Not sure	State	8.3
	Sheriff	24.5
	City/Co.	18.8
	All	19.5
Good	State	69.4
	Sheriff	44.3
	City/Co.	52.8
	All	52.5
Very good	State	11.1
	Sheriff	13.1
	City/Co.	14.0
	All	13.7

QUESTION 15:

Police chief executives may use a variety of methods to learn of internal problems within their agencies. Some methods may be used infrequently or only under specific circumstances; other methods may be used regularly. Please indicate your opinion of the value of the following methods for police chief executives to personally learn of internal problems. (Please mark one in each of the following categories.)

I. Formal audits of agency activities by outside persons or organizations

J. Review personnel grievances

	TYPE OF AGENCY	TOTALS
Very poor	State	11.1
	Sheriff	15.2
	City/Co.	22.0
	All	20.5
Poor	State	47.2
	Sheriff	34.2
	City/Co.	31.2
	All	32.2
Not sure	State	16.7
	Sheriff	24.5
	City/Co.	27.7
	All	26.8
Good	State	19.4
	Sheriff	21.1
	City/Co.	15.1
	All	16.3
Very good	State	5.6
	Sheriff	5.1
	City/Co.	4.0
	All	4.2

	TYPE OF AGENCY	TOTALS
Very poor	State	0
	Sheriff	0
	City/Co.	--
	All	--
Poor	State	0
	Sheriff	3.3
	City/Co.	2.8
	All	2.8
Not sure	State	11.8
	Sheriff	5.3
	City/Co.	5.5
	All	5.5
Good	State	67.6
	Sheriff	72.5
	City/Co.	70.0
	All	70.6
Very good	State	20.6
	Sheriff	18.9
	City/Co.	21.6
	All	20.9

QUESTION 15:

Police chief executives may use a variety of methods to learn of internal problems within their agencies. Some methods may be used infrequently or only under specific circumstances; other methods may be used regularly. Please indicate your opinion of the value of the following methods for police chief executives to personally learn of internal problems. (Please mark one in each of the following categories.)

K. Review management reports submitted by subordinate personnel

L. Monitor informal communications within agency ("grapevine")

	TYPE OF AGENCY	TOTALS
Very poor	State	0
	Sheriff	--
	City/Co.	0.5
	All	0.5
Poor	State	5.6
	Sheriff	6.3
	City/Co.	4.1
	All	4.5
Not sure	State	13.9
	Sheriff	16.7
	City/Co.	10.3
	All	11.5
Good	State	75.0
	Sheriff	62.3
	City/Co.	65.7
	All	65.5
Very good	State	5.6
	Sheriff	14.2
	City/Co.	19.4
	All	18.1

	TYPE OF AGENCY	TOTALS
Very poor	State	5.6
	Sheriff	12.0
	City/Co.	10.0
	All	10.1
Poor	State	25.0
	Sheriff	33.2
	City/Co.	25.9
	All	27.0
Not sure	State	16.7
	Sheriff	20.7
	City/Co.	20.2
	All	20.2
Good	State	44.4
	Sheriff	27.8
	City/Co.	35.8
	All	34.6
Very good	State	8.3
	Sheriff	6.2
	City/Co.	8.4
	All	8.2

QUESTION 15:

Police chief executives may use a variety of methods to learn of internal problems within their agencies. Some methods may be used infrequently or only under specific circumstances; other methods may be used regularly. Please indicate your opinion of the value of the following methods for police chief executives to personally learn of internal problems. (Please mark one in each of the following categories.)

M. Monitor activities of employee/
labor organizations

N. Public opinion surveys

	TYPE OF AGENCY	TOTALS
Very poor	State	0
	Sheriff	7.1
	City/Co.	6.5
	All	6.4
Poor	State	11.1
	Sheriff	20.8
	City/Co.	17.7
	All	17.9
Not sure	State	27.8
	Sheriff	30.8
	City/Co.	26.9
	All	27.7
Good	State	55.6
	Sheriff	35.0
	City/Co.	41.7
	All	40.8
Very good	State	5.6
	Sheriff	6.3
	City/Co.	7.5
	All	7.2

	TYPE OF AGENCY	TOTALS
Very poor	State	8.3
	Sheriff	8.4
	City/Co.	7.3
	All	7.5
Poor	State	25.0
	Sheriff	25.2
	City/Co.	25.0
	All	25.2
Not sure	State	47.2
	Sheriff	29.4
	City/Co.	27.8
	All	28.7
Good	State	16.7
	Sheriff	28.6
	City/Co.	33.8
	All	32.3
Very good	State	2.8
	Sheriff	8.4
	City/Co.	6.1
	All	6.4

QUESTION 15:

Police chief executives may use a variety of methods to learn of internal problems within their agencies. Some methods may be used infrequently or only under specific circumstances; other methods may be used regularly. Please indicate your opinion of the value of the following methods for police chief executives to personally learn of internal problems. (Please mark one in each of the following categories.)

O. Communications with persons outside the agency

P. Monitor news media releases, publications, and broadcasts

	TYPE OF AGENCY	TOTALS
Very poor	State	2.9
	Sheriff	5.0
	City/Co.	4.8
	All	4.7
Poor	State	5.7
	Sheriff	11.7
	City/Co.	14.7
	All	13.8
Not sure	State	5.7
	Sheriff	21.3
	City/Co.	17.4
	All	17.7
Good	State	77.1
	Sheriff	50.4
	City/Co.	52.5
	All	52.7
Very good	State	8.6
	Sheriff	11.7
	City/Co.	11.0
	All	10.9

	TYPE OF AGENCY	TOTALS
Very poor	State	5.6
	Sheriff	7.1
	City/Co.	8.0
	All	7.6
Poor	State	25.0
	Sheriff	19.1
	City/Co.	21.2
	All	20.9
Not sure	State	8.3
	Sheriff	19.9
	City/Co.	19.4
	All	19.0
Good	State	50.0
	Sheriff	43.2
	City/Co.	42.5
	All	42.9
Very good	State	11.1
	Sheriff	10.8
	City/Co.	9.4
	All	9.6

QUESTION 16:

Elected police chief executives, including many sheriffs and some chiefs of police, are often identified with a political party. Do you believe that police chief executives, if elected, should run for election as "partisan" candidates, identified by party affiliation, or as "nonpartisan" candidates who are not identified with a political party.
(mark one only)

1. Partisan

TYPE OF AGENCY	TOTALS
State	8.6
Sheriff	24.6
City/Co.	3.9
All	7.9

2. Nonpartisan

State	80.0
Sheriff	67.7
City/Co.	84.6
All	80.6

3. Not sure

State	11.4
Sheriff	7.7
City/Co.	12.6
All	11.5

TYPE OF AGENCY	TOTALS

APPENDIX 4-3: IMMEDIATE SUPERIOR QUESTIONNAIRE

QUESTION 1:

What is the extent of your authority over your police chief executive? (mark one only)

I exercise direct authority over the police chief executive

I am head of a board with authority over the police chief executive through majority vote

I share authority with another individual or board

TYPE OF AGENCY	% TOTALS
State	85.0
City/Co.	62.8
All	63.4
State	0
City/Co.	18.0
All	17.5
State	15.0
City/Co.	16.4
All	16.4

QUESTION 2:

If your next police chief executive were to be selected from candidates outside the agency, the advantage would most nearly be: (mark one only)

To obtain "new blood" to alleviate adverse institutional conformity

To obtain a person not constrained by prior agency relationships

To obtain a better qualified person than is available within the agency

There would be no advantage

TYPE OF AGENCY	% TOTALS
State	15.0
City/Co.	11.3
All	11.4
State	15.0
City/Co.	20.8
All	20.7
State	30.0
City/Co.	49.8
All	49.3
State	30.0
City/Co.	15.0
All	15.4

QUESTION 3:

How much authority do you think an immediate superior should have in the selection of the police chief executive for his jurisdiction?
(mark one only)

Have sole authority

Share authority in the selection

Advise on the selection but have no authority

Have no part in selection

TYPE OF AGENCY	% TOTALS
State	60.0
City/Co.	44.4
All	44.8
State	25.0
City/Co.	49.2
All	48.6
State	10.0
City/Co.	4.0
All	4.1
State	0
City/Co.	--
All	--

QUESTION 4:

In your opinion, minimum qualifications should be established for police chief executive candidates for:
(mark one only)

All police agencies

Police agencies with 15 or more personnel

Police agencies with 75 or more personnel

Police agencies with 150 or more personnel

No police agencies, minimum qualifications are not necessary

TYPE OF AGENCY	% TOTALS
State	80.0
City/Co.	72.6
All	72.8
State	10.0
City/Co.	14.0
All	13.9
State	0
City/Co.	4.7
All	4.5
State	0
City/Co.	1.8
All	1.8
State	10.0
City/Co.	7.0
All	7.1

QUESTION 5:

The below listed personal characteristics have been proposed as desirable traits in executives. Please indicate the six characteristics you believe to be most significant for police chief executives to possess.
(mark six choices)

	TYPE OF AGENCY	% TOTALS
Energy/initiative	State	95.0
	City/Co.	65.6
	All	66.3
Courage/ self-confidence	State	55.0
	City/Co.	46.3
	All	46.5
Alert/intelligent	State	70.0
	City/Co.	69.9
	All	69.9
Judgment/common sense	State	90.0
	City/Co.	92.1
	All	92.0

	TYPE OF AGENCY	% TOTALS
Integrity/honesty	State	100
	City/Co.	95.4
	All	95.5
Ethical/loyal	State	50.0
	City/Co.	48.7
	All	48.8
Patience/ self-control	State	25.0
	City/Co.	47.4
	All	46.9
Forceful/ persuasive	State	40.0
	City/Co.	17.5
	All	18.0

The below listed personal characteristics have been proposed as desirable traits in executives. Please indicate the six characteristics you believe to be most significant for police chief executives to possess.
(mark six choices)

Flexible/
openminded

Cooperative/
reasonable

SUPERIORS QUESTIONNAIRE

QUESTION 6:

If minimum qualifications were to be recommended for future police chief executive candidates for the police agency in your jurisdiction, those qualifications should include:

EDUCATION:
(mark one only)

Master's degree

4 years of college or bachelor's degree

2 years of college or associate degree

TYPE OF AGENCY	% TOTALS
State	15.8
City/Co.	5.0
All	5.2
State	52.6
City/Co.	35.5
All	36.0
State	10.5
City/Co.	35.5
All	35.0

High school diploma

High school equivalency

No formal education required

TYPE OF AGENCY	% TOTALS
State	21.1
City/Co.	17.9
All	18.0
State	0
City/Co.	4.9
All	4.7
State	0
City/Co.	1.2
All	1.1

QUESTION 6:

If minimum qualifications were to be recommended for future police chief executive candidates for the police agency in your jurisdiction, those qualifications should include:

TRAINING:

(more than one may be marked)

	TYPE OF AGENCY	% TOTALS
Some law enforcement training, such as basic academy, inservice, or supervisory training	State	80.0
	City/Co.	88.7
	All	88.4
Some management or executive development training and seminars at the college level	State	75.0
	City/Co.	72.6
	All	72.7
EXPERIENCE: (more than one may be marked)		
A minimum number of years of prior law enforcement experience	State	65.0
	City/Co.	64.2
	All	64.2
Some command or supervisory experience within law enforcement	State	85.0
	City/Co.	84.1
	All	84.1

ALTERNATIVE QUALIFICATIONS:

(more than one may be marked)

	TYPE OF AGENCY	% TOTALS
Training institutes, seminars, and law enforcement academy training as a substitute for some formal education	State	50.0
	City/Co.	65.0
	All	64.6
On-the-job experience within law enforcement as a substitute for some formal education or training	State	80.0
	City/Co.	58.7
	All	59.3
Certain types of supervisory positions held or executive experience obtained outside the field of law enforcement as a substitute for some law enforcement experience	State	70.0
	City/Co.	39.5
	All	40.2

QUESTION 7:

Please indicate your opinion of the following statements by placing a mark in the appropriate column:

1. The next police chief executive in your jurisdiction should be selected from candidates outside as well as inside your agency.

	TYPE OF AGENCY	% TOTALS
Strongly agree	State	20.0
	City/Co.	42.5
	All	41.9
Agree	State	40.0
	City/Co.	39.8
	All	39.8
Not sure	State	15.0
	City/Co.	6.8
	All	7.0
Disagree	State	10.0
	City/Co.	9.0
	All	9.0
Strongly disagree	State	15.0
	City/Co.	1.9
	All	2.2

2. Formal certification programs at the regional or State level would be a good method of verifying the qualifications of police chief executives.

	TYPE OF AGENCY	% TOTALS
Strongly agree	State	5.0
	City/Co.	8.1
	All	8.0
Agree	State	35.0
	City/Co.	37.9
	All	37.8
Not sure	State	35.0
	City/Co.	26.9
	All	27.1
Disagree	State	25.0
	City/Co.	20.1
	All	20.2
Strongly disagree	State	0
	City/Co.	7.1
	All	6.9

QUESTION 7:

Please indicate your opinion of the following statements by placing a mark in the appropriate column:

3. A national academy for training new police chief executives is needed.

4. A regional or State level academy for training new police chief executives is needed.

	TYPE OF AGENCY	% TOTALS
Strongly agree	State	0
	City/Co.	10.4
	All	10.1
Agree	State	35.0
	City/Co.	25.7
	All	26.0
Not sure	State	25.0
	City/Co.	33.9
	All	33.7
Disagree	State	35.0
	City/Co.	26.2
	All	26.5
Strongly disagree	State	5.0
	City/Co.	3.7
	All	3.7

	TYPE OF AGENCY	% TOTALS
Strongly agree	State	25.0
	City/Co.	14.9
	All	15.2
Agree	State	60.0
	City/Co.	46.1
	All	46.5
Not sure	State	10.0
	City/Co.	21.6
	All	21.4
Disagree	State	5.0
	City/Co.	15.3
	All	15.1
Strongly disagree	State	0
	City/Co.	1.9
	All	1.9

QUESTION 7:

Please indicate your opinion of the following statements by placing a mark in the appropriate column:

5. Each of the following is a good method of selecting police chief executives.

CIVIL SERVICE

	TYPE OF AGENCY	% TOTALS
Strongly agree	State	0
	City/Co.	7.5
	All	7.3
Agree	State	28.6
	City/Co.	26.4
	All	26.4
Not sure	State	14.3
	City/Co.	16.4
	All	16.4
Disagree	State	57.1
	City/Co.	29.2
	All	29.7
Strongly disagree	State	0
	City/Co.	20.5
	All	20.1

6. Each of the following is a good method of selecting police chief executives.

APPOINTMENT BY POLITICAL OFFICIAL

	TYPE OF AGENCY	% TOTALS
Strongly agree	State	0
	City/Co.	6.3
	All	6.1
Agree	State	64.7
	City/Co.	22.7
	All	23.7
Not sure	State	5.9
	City/Co.	7.7
	All	7.7
Disagree	State	23.5
	City/Co.	29.2
	All	29.1
Strongly disagree	State	5.9
	City/Co.	34.2
	All	33.5

QUESTION 7:

Please indicate your opinion of the following statements by placing a mark in the appropriate column:

7. Each of the following is a good method of selecting police chief executives.

ELECTIVE

	TYPE OF AGENCY	% TOTALS
Strongly agree	State	0
	City/Co.	1.5
	All	1.5
Agree	State	7.1
	City/Co.	1.5
	All	1.6
Not sure	State	0
	City/Co.	4.4
	All	4.3
Disagree	State	57.1
	City/Co.	36.4
	All	36.8
Strongly disagree	State	35.7
	City/Co.	56.2
	All	55.8

8. Each of the following is a good method of selecting police chief executives.

SENIORITY

	TYPE OF AGENCY	% TOTALS
Strongly agree	State	0
	City/Co.	0.9
	All	0.9
Agree	State	21.4
	City/Co.	10.0
	All	10.3
Not sure	State	0
	City/Co.	10.3
	All	10.1
Disagree	State	50.0
	City/Co.	34.7
	All	35.0
Strongly disagree	State	28.6
	City/Co.	44.1
	All	43.8

QUESTION 7:

Please indicate your opinion of the following statements by placing a mark in the appropriate column:

9. Each of the following is a good method of selecting police chief executives.

"MERIT" SELECTION PROCESS OTHER THAN ABOVE

	TYPE OF AGENCY	% TOTALS	TYPE OF AGENCY	TOTALS
Strongly agree	State	35.3		
	City/Co.	34.8		
	All	34.8		
Agree	State	58.8		
	City/Co.	42.8		
	All	43.1		
Not sure	State	5.9		
	City/Co.	12.0		
	All	11.9		
Disagree	State	0		
	City/Co.	7.2		
	All	7.0		
Strongly disagree	State	0		
	City/Co.	3.3		
	All	3.2		

It has been suggested that qualified police chief executives should be offered fixed-term appointments that would be cancellable only for cause. The purpose would be to provide for management stability and continuity, and a reasonable period of time to achieve desirable results. In general, what is your opinion regarding this suggestion?

	TYPE OF AGENCY	% TOTALS
Strongly agree	State	20.0
	City/Co.	12.3
	All	12.5
Agree	State	35.0
	City/Co.	39.6
	All	39.5
Not sure	State	15.0
	City/Co.	12.0
	All	12.1
Disagree	State	30.0
	City/Co.	25.7
	All	25.8
Strongly disagree	State	0
	City/Co.	10.5
	All	10.2

If the next police chief executive in your jurisdiction were to be appointed for a fixed term (with provision for cancellation for cause), what minimum term do you recommend?

(Mean years)

[illegible]

QUESTION 10:

How important do you believe the following items should be in selecting a police chief executive?
(Please mark one in each of the categories.)

EDUCATION:

Very unimportant

TYPE OF AGENCY	% TOTALS
State	0
City/Co.	2.4
All	2.4
State	5.3
City/Co.	0.9
All	1.0
State	0
City/Co.	2.3
All	2.2
State	73.7
City/Co.	68.5
All	68.7
State	21.1
City/Co.	25.8
All	25.7

Unimportant

Not sure

Important

Very important

LAW ENFORCEMENT EXPERIENCE:

Very unimportant

TYPE OF AGENCY	% TOTALS
State	10.0
City/Co.	3.2
All	3.4
State	0
City/Co.	1.3
All	1.2
State	0
City/Co.	1.0
All	1.0
State	45.0
City/Co.	40.8
All	40.9
State	45.0
City/Co.	53.7
All	53.5

Unimportant

Not sure

Important

Very important

QUESTION 10:

How important do you believe the following items should be in selecting a police chief executive? (Please mark one in each of the categories.)

(continued from preceding page)

MANAGEMENT EXPERIENCE:

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	5.0
	City/Co.	1.7
	All	1.8
Unimportant	State	0
	City/Co.	1.3
	All	1.3
Not sure	State	0
	City/Co.	4.9
	All	4.8
Important	State	45.0
	City/Co.	54.5
	All	54.3
Very important	State	50.0
	City/Co.	37.6
	All	37.9

MILITARY EXPERIENCE:

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	10.0
	City/Co.	16.3
	All	16.1
Unimportant	State	60.0
	City/Co.	54.2
	All	54.3
Not sure	State	20.0
	City/Co.	15.6
	All	15.7
Important	State	10.0
	City/Co.	12.8
	All	12.7
Very important	State	0
	City/Co.	1.2
	All	1.1

QUESTION 10:

How important do you believe the following items should be in selecting a police chief executive? (Please mark one in each of the categories.)

(continued from preceding page)

PHYSICAL FITNESS:

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	5.0
	City/Co.	2.1
	All	2.1
Unimportant	State	10.0
	City/Co.	5.8
	All	5.9
Not sure	State	15.0
	City/Co.	9.8
	All	9.9
Important	State	60.0
	City/Co.	71.6
	All	71.3
Very important	State	10.0
	City/Co.	10.7
	All	10.7

LAW ENFORCEMENT TRAINING:

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	5.3
	City/Co.	2.3
	All	2.4
Unimportant	State	0
	City/Co.	0.5
	All	0.5
Not sure	State	5.3
	City/Co.	0.9
	All	1.0
Important	State	63.2
	City/Co.	54.8
	All	55.0
Very important	State	26.3
	City/Co.	41.5
	All	41.1

QUESTION 10:

How important do you believe the following items should be in selecting a police chief executive? (Please mark one in each of the categories.)

(continued from preceding page)

MANAGEMENT TRAINING:

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	5.3
	City/Co.	1.2
	All	1.3
Unimportant	State	5.2
	City/Co.	3.2
	All	3.3
Not sure	State	10.5
	City/Co.	4.5
	All	5.1
Important	State	42.1
	City/Co.	48.1
	All	57.7
Very important	State	36.8
	City/Co.	32.6
	All	32.7

PERSONAL APPEARANCE:

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	5.0
	City/Co.	2.3
	All	2.4
Unimportant	State	15.0
	City/Co.	5.3
	All	5.5
Not sure	State	5.0
	City/Co.	7.7
	All	7.6
Important	State	60.0
	City/Co.	63.5
	All	63.4
Very important	State	15.0
	City/Co.	21.2
	All	21.1

QUESTION 10:

How important do you believe the following items should be in selecting a police chief executive? (Please mark one in each of the categories.)

(continued from preceding page)

PERSONALITY:

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	5.0
	City/Co.	2.3
	All	2.4
Unimportant	State	0
	City/Co.	1.0
	All	1.0
Not sure	State	0
	City/Co.	3.2
	All	3.1
Important	State	75.0
	City/Co.	61.4
	All	61.7
Very important	State	20.0
	City/Co.	32.0
	All	31.7

PROFESSIONAL REPUTATION:

	TYPE OF AGENCY	% TOTALS
Very unimportant	State	5.0
	City/Co.	2.4
	All	2.5
Unimportant	State	0
	City/Co.	1.9
	All	1.9
Not sure	State	0
	City/Co.	4.6
	All	4.5
Important	State	55.0
	City/Co.	46.4
	All	46.6
Very important	State	40.0
	City/Co.	44.6
	All	44.5

QUESTION 10:

How important do you believe the following items should be in selecting a police chief executive?
(Please mark one in each of the categories.)

(continued from preceding page)

AGE:

	TYPE OF AGENCY	% TOTALS	TYPE OF AGENCY	TOTALS
Very unimportant	State	5.0		
	City/Co.	2.6		
	All	2.6		
Unimportant	State	35.0		
	City/Co.	32.1		
	All	32.2		
Not sure	State	5.0		
	City/Co.	20.0		
	All	19.6		
Important	State	45.0		
	City/Co.	41.5		
	All	41.6		
Very important	State	10.0		
	City/Co.	3.9		
	All	4.0		

QUESTION 11:

How important is it that your next police chief executive be knowledgeable or experienced in each of the following management skills? A rating of "0" indicates the skill is unimportant.

(mean rating)

	TYPE OF AGENCY	TOTALS		TYPE OF AGENCY	TOTALS
Organizing agency personnel and functions	State	7.8	Developing subordinates into an effective team	State	8.2
	City/Co.	7.9		City/Co.	8.5
	All	7.9		All	8.5
Forecasting, planning, and implementing agency activities	State	7.4	Relating to the community	State	7.1
	City/Co.	7.5		City/Co.	8.2
	All	7.5		All	8.2
Budgeting and fiscal management	State	6.4	Maintaining internal review and control	State	7.3
	City/Co.	6.8		City/Co.	7.5
	All	6.8		All	7.5
Motivating personnel and maintaining high morale	State	8.4	Establishing and communicating objectives and priorities	State	7.0
	City/Co.	8.5		City/Co.	7.5
	All	8.5		All	7.5

QUESTION 11:

How important is it that your next police chief executive be knowledgeable or experienced in each of the following management skills? A rating of "0" indicates the skill is unimportant.

(continued from preceding page)

(mean rating)

	TYPE OF AGENCY	TOTALS
Coordinating agency activity with other organizations	State	6.3
	City/Co.	6.6
	All	6.5
Communicating with all levels within the agency	State	7.2
	City/Co.	7.5
	All	7.5
Resolving employee relations problems	State	6.3
	City/Co.	7.3
	All	7.3
Utilizing advanced technology	State	5.8
	City/Co.	6.8
	All	6.8

Securing and managing grant funded projects

Administering internal discipline

	TYPE OF AGENCY	TOTALS
Securing and managing grant funded projects	State	4.2
	City/Co.	5.6
	All	5.6
Administering internal discipline	State	6.3
	City/Co.	7.6
	All	7.6

QUESTION 12:

Which of the below do you believe should be a part of the formal selection process for police chief executives?
(mark one or more)

Written application or resume	TYPE OF AGENCY	% TOTALS	Background investigation	TYPE OF AGENCY	% TOTALS
	State	75.0		State	95.0
	City/Co.	87.1		City/Co.	85.8
	All	86.8		All	86.1
Objective examination (multiple choice type)	State	0	Performance evaluations from recently held positions	State	85.0
	City/Co.	15.3		City/Co.	73.5
	All	14.9		All	73.8
Written essay examination	State	0	Simulated management exercises	State	5.0
	City/Co.	17.5		City/Co.	14.8
	All	17.0		All	14.6
Oral interview	State	95.0	Formal selection process is not necessary	State	0
	City/Co.	94.4		City/Co.	2.0
	All	94.4		All	2.0
Evaluation by peers (professional associates)	State	70.0			
	City/Co.	37.8			
	All	38.6			

QUESTION 13:

It has been suggested that police chief executives should have protection from arbitrary removal by provisions for hearings, removal for cause only, or other reasonable due process methods. In general, what is your opinion regarding this suggestion?

	TYPE OF AGENCY	% TOTALS
Strongly agree	State	25.0
	City/Co.	21.9
	All	22.0
Agree	State	45.0
	City/Co.	44.7
	All	44.7
Not sure	State	0
	City/Co.	9.1
	All	8.9
Disagree	State	30.0
	City/Co.	16.7
	All	17.1
Strongly disagree	State	0
	City/Co.	7.6
	All	7.4

QUESTION 14:

Police chief executives are generally supervised by individuals, boards and various combinations of individuals and/or boards. In your opinion, supervision of police chief executives is best performed by:
(mark one only)

	TYPE OF AGENCY	% TOTALS
One individual	State	47.4
	City/Co.	56.5
	All	56.3
A board acting through majority vote	State	21.1
	City/Co.	26.1
	All	26.0
Any member of a board acting individually	State	0
	City/Co.	--
	All	--
An individual with concurrence from higher authority	State	31.6
	City/Co.	14.8
	All	15.2

QUESTION 15:

Statements made to the press to inform the public of newsworthy police activities involving public safety should be made by:
(mark one or more)

Any involved officer with knowledge of the specific activity

Any employee(s) designated by the police chief executive

The police chief executive

The police chief executive's superior

TYPE OF AGENCY	% TOTALS
State	10.0
City/Co.	7.3
All	7.3
State	70.0
City/Co.	49.0
All	49.5
State	70.0
City/Co.	65.8
All	65.9
State	30.0
City/Co.	20.0
All	20.3

QUESTION 16:

The police chief executive should have the latitude to publicly express his professional opinions on issues relating to public safety.

In general, what is your opinion regarding this statement?

Strongly agree

Agree

Not sure

Disagree

Strongly disagree

TYPE OF AGENCY	% TOTALS
State	30.0
City/Co.	27.1
All	27.2
State	70.0
City/Co.	62.2
All	62.4
State	0
City/Co.	5.0
All	4.8
State	0
City/Co.	5.1
All	5.0
State	0
City/Co.	0.6
All	0.6

QUESTION 17:

How much of a role do you think an immediate superior should have in the termination of the police chief executive in his jurisdiction?
(mark one only)

Have sole
responsibility
for termination

TYPE OF AGENCY	% TOTALS
State	42.1
City/Co.	43.8
All	43.7
State	15.8
City/Co.	17.1
All	17.0
State	31.6
City/Co.	29.0
All	29.1

Have a vote in
termination

Advise on the
termination but
have no vote

Have no part
in the
termination

Initiate
disciplinary
charges to be
adjudicated by
a board

TYPE OF AGENCY	% TOTALS
State	5.3
City/Co.	6.9
All	6.9
State	0
City/Co.	--
All	--

QUESTION 18:

What factors frequently influence your appraisal of your police chief executive?
(mark one or more)

	TYPE OF AGENCY	% TOTALS		TYPE OF AGENCY	% TOTALS
Community opinion	State	60.0	Management of police budget	State	75.0
	City/Co.	49.6		City/Co.	50.9
	All	49.9		All	51.5
News media opinion	State	10.0	Administration of internal discipline	State	50.0
	City/Co.	5.5		City/Co.	66.1
	All	5.6		All	65.7
Criminal justice system members' opinion	State	50.0	Quality of police personnel performance	State	95.0
	City/Co.	17.0		City/Co.	88.3
	All	17.8		All	88.4
Police employee association opinion	State	25.0	Personal conduct of police chief executive	State	80.0
	City/Co.	13.1		City/Co.	70.9
	All	13.4		All	71.1
Level of crime	State	20.0	Reported corruption in police agency	State	25.0
	City/Co.	35.1		City/Co.	13.9
	All	34.7		All	14.2

QUESTION 18-L:

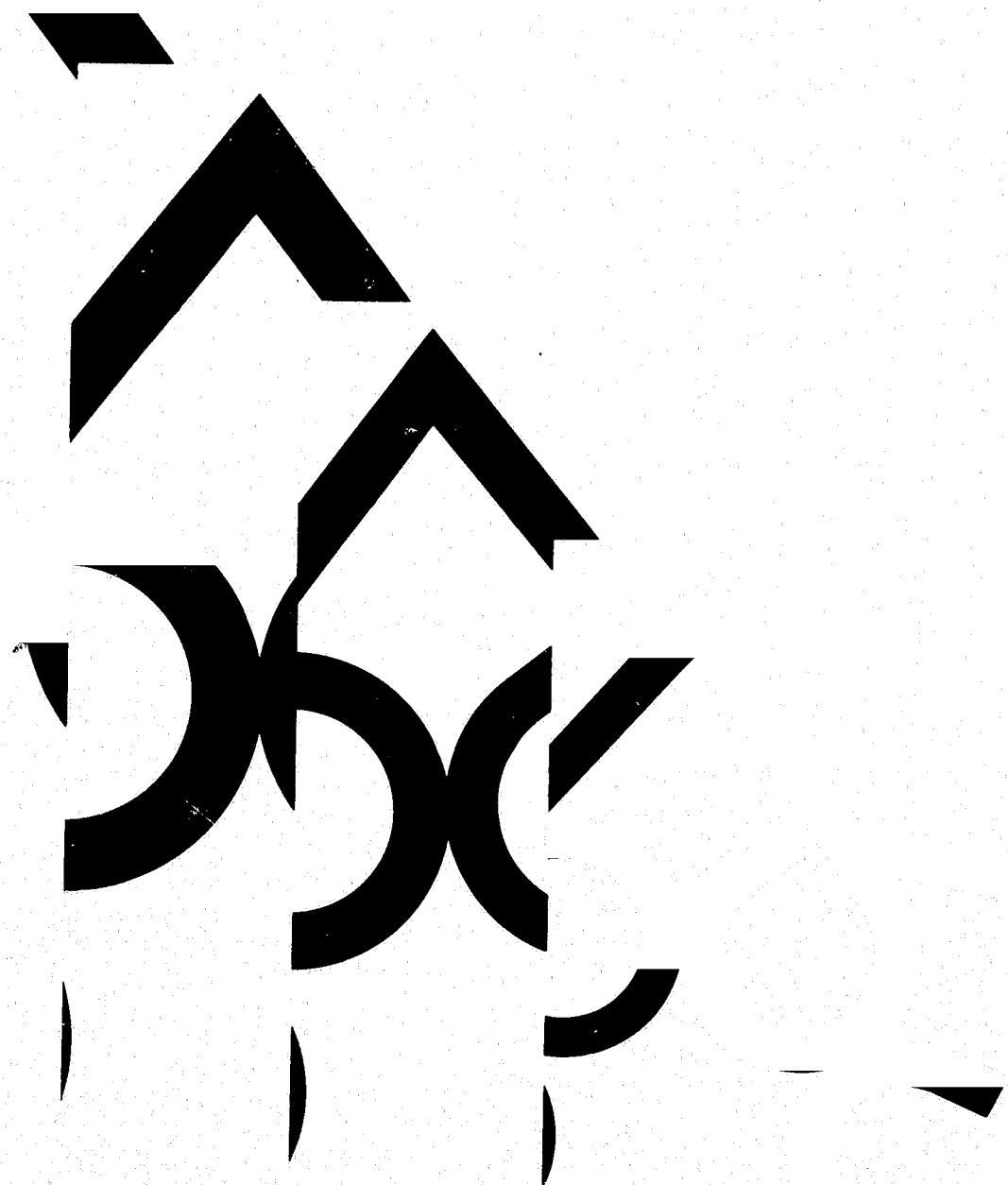
What factors frequently influence your appraisal of your police chief executive?

If more than one answer is marked, which factor is most influential?

	TYPE OF AGENCY	% TOTALS		TYPE OF AGENCY	% TOTALS
Community opinion	State	10.1	Management of police budget	State	0
	City/Co.	5.1		City/Co.	1.6
	All	5.2		All	1.6
News media opinion	State	0	Administration of internal discipline	State	0
	City/Co.	0		City/Co.	4.6
	All	0		All	4.4
Criminal justice system members' opinion	State	5.0	Quality of police personnel performance	State	70.0
	City/Co.	0.8		City/Co.	69.0
	All	0.9		All	69.1
Police employee association opinion	State	0	Personal conduct of police chief executive	State	10.0
	City/Co.	0.7		City/Co.	8.8
	All	0.7		All	8.9
Level of crime	State	0	Reported corruption in police agency	State	0
	City/Co.	3.9		City/Co.	1.6
	All	3.8		All	1.6

What percentage of your time is spent in relation to the activities of the police agency under your supervision?

[illegible][illegible]



Police Chief Executive Committee

Edward M. Davis

Edward M. Davis was appointed chief of the Los Angeles Police Department in 1969.

Chief Davis has served the Los Angeles Police Department since 1940 in all ranks from policeman to chief. He was one of the architects of the California Peace Officers' Standards and Training Act of 1954, and has been a legislative advocate of the Peace Officers' Research Association of California (PORAC). As Chief of Police, Chief Davis conceived and implemented the "Basic Radio Car Plan" designed to bring line officers closer to the citizens they serve. He also developed the concept of the "instant cop," a command and control system to expedite the deployment of field forces.

Chief Davis is chairman of the Civil Defense and Disaster Board for the City of Los Angeles. He is the first vice president of the International Association of Chiefs of Police and a member of its Executive Committee. In 1972, Chief Davis was chairman of the Police Task Force of the National Advisory Commission on Criminal Justice Standards and Goals. He is a former member of the Executive Committee of the California Peace Officers' Association, and a former vice president of the National Conference of Police Associations. Chief Davis is an honors graduate of

the School of Public Administration of the University of Southern California and a graduate of the U.S.C. Delinquency Control Institute.

Michael J. Codd

Michael J. Codd is the Police Commissioner of New York City and has been a member of the New York City Police Department since 1941. Prior to his appointment as Commissioner he served for 2½ years as Chief Inspector, the department's highest rank.

Commissioner Codd is a graduate of the FBI National Academy and has been an instructor at FBI training courses, at the New York State Police In-Service Training Program, and at the New York City Police Department Police Academy. Commissioner Codd is chairman of the Firearms Control Board, City of New York, and is a member of the New York State Crime Control Planning Board. He is also a member of professional associations and committees including: the Executive Committee, International Association of Chiefs of Police; National Advisory Committee of the Task Force on Disorders and Terrorism; and the Committee on Public Safety of the National League of Cities.

Harold Adamson

Harold Adamson is the Chief of Police of Metropolitan Toronto, Canada.

From 1939 to 1957, Chief Adamson served in every rank of the Scarborough, Ontario, Police Force from cadet to deputy chief. Upon the unification of the police forces of the City of Toronto and the 12 suburban municipalities in 1957, Chief Adamson was appointed staff inspector. For the next 8 years he served as commanding officer of two downtown divisions. He was promoted to superintendent in 1965, to deputy chief in 1966, and was named Chief of Police in 1970.

Chief Adamson has been a member of several professional and service organizations, among which are: the Ontario, Canadian, and International Associations of Chiefs of Police; the Governing Body of the Canadian Criminal Intelligence Services for both Ontario and Canada; the Advisory Committees for the Ontario Police College, Seneca College, and Humber College; and the Advisory Council of the Centre of Criminology. In 1975, he was elected president of the Canadian Association of Chiefs of Police. Chief Adamson is a graduate of the Scarborough Collegiate Institute, and of the police management program of Northwestern University.

Arthur L. Alarcon

Arthur L. Alarcon was appointed a Judge of the Los Angeles Superior Court by Governor Edmund G. Brown, Sr., on July 1, 1964.

Judge Alarcon had been a deputy district attorney for Los Angeles County for 10 years. He is the former chairman of the California Adult Authority (parole board for adult felons), and the former executive assistant to Governor Brown, Sr.

Judge Alarcon is the chairman of the State Bar of California, Criminal Justice Committee; a member of the California Conference of Judges; and a past member of the Executive Board of the California Conference of Judges. Judge Alarcon received the A.B. degree from the University of Southern California in 1949 and the J.D. degree from that university's School of Law in 1951.

Bruce R. Baker

Bruce R. Baker has been the Chief of Police of the Portland, Oreg., Police Bureau since 1974.

Chief Baker began his law enforcement career in 1949 as a patrolman with the Berkeley, Calif., Police Department. He progressed through the ranks and

served as chief of that department from 1969 to 1974. He was chairman of the Alameda County (Calif.) Regional LEAA Criminal Justice Planning Board, a member of the Law Enforcement Advisory Committee to the California Youth Authority, a member of the Task Force on Civil Disorder of the California Council on Criminal Justice, and a past president of the Alameda County Police Chiefs' Association.

Chief Baker is a member of the following bodies: the Oregon Law Enforcement Council; the (Oreg.) Board of Police Standards and Training; the (Oreg.) Governor's Commission on Organized Crime; the Executive Board of the Oregon Association of Chiefs of Police; and has served as a consultant to the National Institute of Law Enforcement and Criminal Justice and the American Justice Institute.

Chief Baker is a graduate of the University of California, with a degree in psychology, and he has done additional study in the University of Southern California, School of Public Administration. He is the author of articles on law enforcement and criminal justice.

Willie Bauer

Willie Bauer is the Chief of Police of the Beaumont, Tex., Police Department.

Chief Bauer began his career with this department as a patrolman in 1938. He was promoted through the ranks, reaching assistant Chief of Police in 1950 and his present position of Chief in 1961. He is the originator of the "Mobile On-Duty Electronic Learning" technique (MODEL).

Chief Bauer is a past president of the FBI National Academy Associates, and a present member of the Executive Committee of the International Association of Chiefs of Police. Chief Bauer holds the advanced and instructor's certificate of the Texas Commission of Law Enforcement Officer Standards.

Eugene J. Camp

Eugene J. Camp is the Chief of Police of the St. Louis, Mo., Metropolitan Police Department.

Chief Camp first joined this department in 1937 as a civilian employee. He was appointed to the Police Academy in 1940 as a recruit officer. Following his graduation from the St. Louis Police Academy in 1941, he progressed through the ranks to the attainment of his present position in 1970.

Chief Camp is a past editor of the St. Louis Police Journal, and is currently chairman of the National Emergency Command, Control, Communications

System Advisory Committee. Chief Camp holds the bachelor's degree in industrial relations from St. Louis University.

Dale Carson

Dale Carson is the Sheriff of Duval County, Fla.

Sheriff Carson has been returned to office five times by the county electorate. He is a former detective with the Baltimore and Ohio Railroad, and a former special agent of the Federal Bureau of Investigation.

Sheriff Carson has been a member of several professional and service organizations, among which are: the (Fla.) Crime Laboratory Council, the (Fla.) Governor's LEAA Council, vice chairman of the Police Task Force of the National Advisory Commission on Criminal Justice Standards and Goals, chairman of the Governor's Task Force on Police to Implement Standards and Goals, Board of the National Sheriffs' Association, and the chairman of Narcotics and Dangerous Drugs Committee of the International Association of Chiefs of Police. Sheriff Carson is a graduate of Ohio State University with a degree in criminology.

Richard C. Clement

Richard C. Clement is the Chief of the Dover Township Police Department, in Toms River, N.J.

Chief Clement began his service with the Dover Township Police Department in 1946 as a patrolman. He became Deputy Chief in 1965 and Chief in 1967.

Chief Clement is currently president of the International Association of Chiefs of Police. He is the national chairman of the Law Enforcement Explorers, Boy Scouts of America. He is the past president of the Ocean County Chiefs of Police Association, and is an Executive Board member of the New Jersey State Chiefs of Police Association.

Chief Clement is a member of the LEAA Private Security Advisory Council. He was appointed by the President to the National Advisory Committee for Juvenile Justice and Delinquency Prevention. Chief Clement holds a bachelor's degree from Thomas A. Edison College in Trenton, N.J.

Bruce Crawford

Bruce Crawford is the Chief of Police, York Regional Police Force, Ontario, Canada.

Chief Crawford joined the York Township Police Force in 1945 and served there until its amalga-

tion into the Metropolitan Toronto Police Force in 1957. He remained with the metropolitan force until 1966 when he joined the newly formed Toronto Port Police as deputy chief of police. From 1968 to 1971, Chief Crawford was Chief of Police of the Port Police Force.

Chief Crawford is a member of the Board of Directors of the House of Concord (a correctional institution), Concord, Ontario; a member of the Advisory Board of Seneca College Law Enforcement Program, Toronto; and a member of the Advisory Board of Niagara University Law Enforcement Board, Niagara Falls, N.Y. He is also a member of the Ontario Association of Chiefs of Police, the Canadian Association of Chiefs of Police, and the International Association of Chiefs of Police. He is chairman of several committees of the Ontario and Canadian Associations. Chief Crawford is a graduate of the Royal Canadian Mounted Police, Canadian Police College, in Regina, Saskatchewan.

Peter F. Drucker

Peter F. Drucker is a management consultant who specializes in industrial operations, economic policy, and management organization at the top levels.

Dr. Drucker has been a consultant to several of the leading businesses in the United States and abroad, to State and Federal agencies, to the governments of other nations, and to public and educational service institutions around the world. He has written books and articles in the fields of economics, industrial relations, philosophy, and psychology. He is currently Clarke Professor of Social Science and Management at Claremont graduate school in Claremont, Calif., and was formerly a professor at Bennington College in Vermont. He is Distinguished University Lecturer at the Graduate Business School of New York University.

Dr. Drucker has been a member of many professional organizations, among which are: Fellow, the American Association for the Advancement of Science; Fellow, International Academy of Management; Fellow, American Academy of Management; and Past President, Society for the History of Technology. Dr. Drucker holds the doctorate in public and international law from Frankfurt University in Germany, and he has received nine honorary doctorates from universities in Belgium, Great Britain, Japan, Switzerland, and the United States.

Thomas J. Jenkins

Thomas J. Jenkins is assistant to the Director-Deputy Associate Director of the Federal Bureau of Investigation.

Mr. Jenkins entered the FBI in 1934 and was appointed a special agent in 1939. He has served, on special assignment, as director of the Surveys and Investigations Staff of the U.S. House of Representatives Appropriations Committee and as inspector in the FBI Inspection Division. He has been the Special Agent in Charge of the Birmingham, Ala.; Charlotte, N.C.; Baltimore, Md.; Boston, Mass.; and Washington, D.C. offices. In 1964, he served as inspector and head of the Training Division, and then in 1972 was designated assistant director in charge of the Training Division.

Mr. Jenkins is a member of the Executive Committee of the International Association of Chiefs of Police. Mr. Jenkins received the A.B. and J.D. degrees from Georgetown University, Washington, D.C. He is a member of the Bar of the District of Columbia and has been admitted to practice before the United States Supreme Court. He received the Attorney General's Distinguished Service Award in 1974.

David B. Kelly

David B. Kelly is the national director of Loss Prevention for the Great Atlantic & Pacific Tea Company.

Mr. Kelly was a New Jersey State Trooper for 28 years and Superintendent of the New Jersey State Police for 10 years. He retired from the New Jersey State Police in September 1974 to take his present position.

Mr. Kelly is a member of the International Association of Chiefs of Police and the Private Security Advisory Council and is a Trustee of several 200 Clubs in the State of New Jersey. He is a graduate of Seton Hall College.

Francis B. Looney

Francis B. Looney is deputy commissioner of the New York City Police Department.

Previously, Commissioner Looney served with the Nassau County (N.Y.) Police Department in all ranks, and was Commissioner of Police for 5 years before joining the New York City Police Department as assistant to the Police Commissioner. As president of the International Association of Chiefs of Police (1973-74), he formed the Police Chief Executive Committee; and, he has served as Committee Chairman of the American Bar Association, Highway Safety, Public Relations, Revision of Constitution, and Public Unions committees of that association.

Commissioner Looney is a former member of the New York State Crime Control Planning Board,

former president of the New York State Association of Chiefs of Police, and the current chairman of the Police Advisory Commission of the New York State Civil Service Commission. He is a member of the Criminal Justice Advisory Councils of the State University of Farmingdale, N.Y.; of the New York Institute of Technology, Westbury, N.Y.; and of St. John's University, Queens, N.Y. He is chairman of the Criminal Justice Advisory Board of Niagara University, Niagara Falls, N.Y. He is a graduate of St. John's University Law School.

William Lucas

William Lucas is the Sheriff of Wayne County, Mich.

Sheriff Lucas was appointed undersheriff of Wayne County in 1968, and was subsequently appointed sheriff in 1969. He was elected to a 2-year term in 1970, and a 4-year term in 1972. Sheriff Lucas also has been a special agent with the Federal Bureau of Investigation; an assistant U.S. attorney with the U.S. Department of Justice; and a detective and patrolman with the New York City Police Department.

Sheriff Lucas is on the Boards of Directors of the National Council on Crime and Delinquency and of the National Sheriffs' Association. He is co-chairman of the Wayne County Coordinating Council for Criminal Justice and chairman of the National Committee on Standards, Ethics, Education, and Development of the National Sheriffs' Association. He is a graduate of Manhattan College and of the Fordham University Law School and is a member of the American Bar Association.

Rocky Pomerance

Rocky Pomerance has been the Chief of the City of Miami Beach, Fla., Police Department for 12 years and has been involved in law enforcement for more than 25 years.

Chief Pomerance is the immediate past president of the International Association of Chiefs of Police; a past president of the Dade County, Fla., Chiefs of Police Association; and a past director of the Florida Police Chiefs Association. Chief Pomerance is a member of the National Commission on Productivity, was a consultant to the U.S. House of Representatives Select Committee on Crime, was appointed by the Governor of Florida to the Florida Police Standards Commission, and is a member of the National Bureau of Standards. He is a U.S. Delegate to the United

Nations Congress on the Prevention of Crime and Treatment of the Offender.

Chief Pomerance has attended the University of Miami and the Florida International University.

Walter F. Ruckgaber

Walter F. Ruckgaber has been Chief of Police of the Incorporated Village of Lake Success, N.Y., since 1958.

Chief Ruckgaber is a special advisor to the CAPP program, an accelerated college program leading to an associate or baccalaureate degree for law enforcement personnel; and a special advisor on law enforcement to the Metropolitan Regional Council, a tri-State organization. He is a member of the Academy of Police Science and a member of the New York State Civil Service Examination Review Committee.

Chief Ruckgaber is also president of the New York State Association of Chiefs of Police; President of the New York Chapter of the FBI National Academy Associates; and a past president of the Nassau County, N.Y., Municipal Police Chiefs Association. He is a member of the International Association of Chiefs of Police Executive Committee; a member of the Board of Directors of the Nassau County, N.Y., Municipal Police Chiefs Association;

and the second vice president of the New York State Chapter of the FBI National Academy Associates.

Walter E. Stone

Walter E. Stone is Superintendent of the Rhode Island State Police.

Colonel Stone entered the Providence, R.I., Police Department in 1932 where he rose through ranks to the position of chief of detectives in 1952. In 1959 he was appointed superintendent of the Rhode Island State Police. Except for a period from 1961 to 1963 when he returned and served as chief of the Providence Police Department, he has been superintendent of the State Police.

Colonel Stone is a member of several International Association of Chiefs of Police (IACP) committees including: the Highway Safety Committee, the Executive Committee of the Division of State and Provincial Police, and the Organized Crime Committee. He is currently the general chairman of the State and Provincial Section of the IACP, and a member of the IACP Executive Board. Colonel Stone is a past chairman of the New England State Police Administrators' Conference and past chairman of the Policy Board of the New England Organized Crime Intelligence System. He is a graduate of the FBI National Academy and is the past president of the National Academy Associates of New England.

Police Chief Executive Project Staff Members

Vernon L. Hoy

Vernon L. Hoy is deputy chief of the Los Angeles Police Department, and he served as the executive director of the Police Chief Executive Project.

Chief Hoy began his police career as a patrolman with the Inglewood (Calif.) Police Department in 1949. He joined the Los Angeles Police Department in 1950, and has served there in all ranks from policeman to deputy chief. His career includes assignment as executive officer to the late Chief of Police William H. Parker, and as commanding officer of the Los Angeles Police Training Academy. In 1972, Chief Hoy was the executive director of the National Advisory Commission on Criminal Justice Standards and Goals' Police Task Force.

Chief Hoy is a member of the International Association of Chiefs of Police, the California State Peace Officers Association, and the Los Angeles County Peace Officers Association. Chief Hoy served as chairman of the California Crime Control Committee, and president of the Los Angeles Police Revolver and Athletic Club, and is vice president of the FBI National Academy Associates, California Chapter. Chief Hoy holds the Master of Science in Public Administration degree from the University of Southern California.

William D. Booth

William D. Booth has been a member of the Los Angeles Police Department since May 17, 1954.

Captain Booth served in the Internal Affairs Division for 6 years as the Chief Investigator, Administrative Lieutenant, and Assistant Division Commander. He was the executive officer for Chief Edward M. Davis until he assumed command of Rampart Uniformed Division in July 1973.

Captain Booth received the bachelor's degree in Police Administration from California State University, Los Angeles, in 1962.

George W. Lewis

George W. Lewis served as research director for the Police Chief Executive Project.

Captain Lewis has been a member of the Los Angeles Police Department for 21 years. He has been the commanding officer of the Hollywood Investigative Division; a participant in the original research, design, and development of computerized tactical information systems for the Department; and a project member of Phase I of the Los Angeles Police Department Pattern Recognition and Information Correlation System Project. As a lieutenant, he

was executive officer for Chief Edward M. Davis for more than 3 years.

Captain Lewis received the bachelor's degree in Business Administration from the University of California, Los Angeles, in 1958.

William E. Hogue

William E. Hogue joined the Los Angeles Police Department in 1951.

From 1947 to 1950, Lieutenant Hogue served the Jersey City (N.J.) Police Department as a patrolman. He was the editor of the Los Angeles Police Department's Annual Reports for 1964 and 1965. In 1966, he created and supervised radio and television publicity for a large-scale crime prevention campaign. Lieutenant Hogue set up and initiated the Police Role in Government Project, whereby uniformed officers teach full-time in high schools.

Lieutenant Hogue holds the Certificate in Public Administration (Associate of Arts degree), from the University of Southern California and received the

bachelor's degree in Police Science from California State College, Los Angeles, in 1966.

David Brath

David Brath has been a member of the Los Angeles Police Department for 12 years.

Lieutenant Brath served for 4 years in patrol assignments and then was assigned to the Los Angeles Police Academy as adjutant to the commanding officer. He later prepared and edited the "Investigation into the Assassination of Senator Robert F. Kennedy," a five-volume report issued by the Los Angeles Police Department in 1969. From 1969 to 1973, he was the research officer for Chief Edward M. Davis. He also served as team leader of the Team Policing experiment in the Hollenbeck Investigative Division.

Lieutenant Brath received the bachelor's degree in history from California State College, Los Angeles, in 1969, and has been a part-time instructor of U.S. Government in the Los Angeles City Schools Adult Education Program.

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