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SUMMARY REPORT

NATIONAL EVALUATION PROGRAM
PHASE I ASSESSMENT OF
POLICE MANAGEMENT TRAINING PROGRAMS

Presented to:

National Institute of Justice
Law Enforcement Assistance Administration
U.S. Department of Justice

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ABSTRACT

This Summary reports the partial results of the National Evaluation Program Phase I Assessment of Police Management Training Programs. Like all NEP assessments, this one followed an iterative methodology and drew on multiple data sources: telephone and mail surveys, on-site interviews and observations of training, literature reviews, and consultation with experts in management training and training evaluation. Of the questions the study explored, the Summary considers four: (1) How closely do police management training programs adhere to the industrial model of training program development? (2) What factors external to programs and largely beyond the program developer's control affect how systematic program development can reasonably hope to be? (3) Do police management training programs follow a single management training model or several different ones? (4) What obstacles impede both effective program management and useful program evaluation, and how can these be eliminated or minimized? Other questions related to the evaluation literature, ways to evaluate single programs, and promising future research directions are examined in this study's Technical Report, which also offers more detailed answers to the five questions above.

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ACKNOWLEDGMENTS

Over the course of this National Evaluation Program Phase I Assessment of Police Management Training Programs, we surveyed more than 200 programs by mail, visited 16 programs around the country, experimented with innovative evaluation approaches in three more, maintained contact with the state directors of law enforcement training in their POST agencies, sought the advice and counsel of experts in management training and training evaluation, and asked many people to critique draft reports.

Hundreds of people offered us valuable information and sidelights. They gave us literally thousands of hours of time. A study of this complexity and national scope could not have been completed without their help. We wish to express our appreciation to all who cooperated with our study and lent us their special expertise. Specifically, we thank:

- o The state directors of law enforcement training, who explained their agencies' functions, gave us entree to state-certified programs, and kept us posted on state-level developments
- o The directors of the 16 programs that we visited (listed in Appendix 3), who opened their doors to us and took time to explain their programs' development, goals, and activities
- o The directors of the over 200 programs that completed a mail survey on their program development practices
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We hope that those who contributed to the study view the final products as a fair return on their investment.

Conclusions and Recommendations

The National Institute of Justice looked on police management training programs as vital enough to fund a National Evaluation Program Phase I Assessment about them. There were strong reasons for wanting better information about the development, management, and evaluation of these programs. The number run by state and local agencies has risen rapidly in recent years without benefit of the experiences of others. The whole question of management training evaluation is controversial; some people argue that gut feel is a sufficient barometer of program success, while others try to make programs more accountable by demonstrating their payoff and worth more concretely. The topic is important in itself because police management training programs play an indispensable role in the development of police managers and in the introduction of new concepts and practices into policing. This study explored a number of questions, several of which we discuss briefly below.

1. What has caused the recent multiplication of police management training programs on the state and local level? What are the odds this trend will continue?

Apparently, several factors are behind the spread of police management training programs. More and more people recognize the managerial shortcomings of the typical police manager. Beliefs about the desirable type of police manager have become more varied, requiring additional programs to reflect these beliefs. State and local authorities have demanded programs better geared to state and local needs and concerns. State and local programs are now seen as less costly to operate than out-of-state, residential programs. The lower per-trainee cost permits more officers to be exposed to training. Officers attending training nearby can be called back in emergencies or to resolve coverage problems. If officers can commute to training, there is a lower likelihood of strain on family life. The recommendations at national commissions about expanded managerial training opportunities seem to have had some impact. POSTs have also broadened their influence and sought to strengthen their offerings. LEAA has made funds available for program development through SPAs and POSTS.

The spread of programs on the state and local levels may well be reversed in the near future, depending on whether and to what extent LEAA continues to support training, directly and through SPAs and POSTs. LEAA's probable withdrawal from police training support will have a critical impact on state and local training opportunities if the FBI simultaneously curtails its own training activities, as current budget proposals suggest is inevitable, and if the climate of fiscal austerity chokes off the appropriation of state funds for non-mandatory training programs.

2. How closely do police management training programs follow the industrial model of training program development?

Our first reaction was to say that programs are developed "by the seat of the pants," hardly in a deliberate and systematic fashion. For example, program developers and operators set goals largely without substantial input from user groups; do little or no formal needs assessment; typically skip over the identification of performance deficiencies and often pass off topical interest surveys as needs assessments; do not set consistently clear objectives; generally do not identify criteria that indicate, in measurable terms, the areas in which change is desired and the intended extent of change; usually cannot pinpoint how they want in-program outcomes to affect job behavior; rarely specify the learning principles that underlie instructional methods; often fall back on an established curriculum long after its use has become counterproductive; rarely provide a mechanism to help trainees and their superiors come to agreement about the individualized purposes for participation in training; hire trainers based more on their anticipated rapport with trainees than on their familiarity with the subject matter; tend to exert little control over the composition of a class; make minimal efforts to coordinate trainer activities; distribute rewards for training almost indiscriminately; obtain too little advance information about trainees for it to be useful in targeting content or measuring outcomes; conduct few evaluations other than course critiques; use evaluation results to tinker with program components but rarely to make needed major revisions; and so forth. Our second reaction, however, took the broader view that practices in development of police management training are not unreasoned, that process is deliberate, phased, and rather systematic, but corresponds inconsistently from point to point with the industrial model. This only partially verifies the claim by one program administrator that, "Programs are not rationally designed. Instead, they evolve--are gradually shaped by what is needed."

3. How systematic can program development reasonably hope to be?

There are factors external to programs and largely beyond the program developer's control that limit how closely developmental practices can correspond to any chosen system. At each major developmental juncture, five external factors affect program development: funding, legal requirements, organizational environment, community environment, and the ready availability of materials and resources from prior programs. Other factors affect program development at isolated points. For example, departmental coverage requirements and the priority that user agencies place on training can dramatically affect availability of the type of trainee for whom a course was designed. The program developer's options seem to be ringed by a multitude of forces beyond his control. Most program managers and operators have rightly concluded, therefore, that a high level of adherence to the industrial model is infeasible now and is unlikely to become more feasible in the near future. Add that most program managers and operators still have the capacity to make isolated interim changes that will make their programs more manageable. We also point

out that a program developer's attitudes toward the value of systematic development can play a key role in activating and maintaining certain obstacles to more systematic practice.

4. Do police management training programs follow a single model or several different ones?

Police management training programs take many forms, varying in the functions they seek to serve and in the means used to achieve chosen ends. We found 14 variants of police management training in the field. The eight basic models show how training can be used to produce familiarity and compliance with departmental policy; to disseminate a prescribed body of knowledge derived from industry, the experiences of other police agencies, or new laws; or to provide trainees with the concepts and experiences to manage more participatively. The six auxiliary models show how training can be used to boost trainee and agency morale, to certify experienced and trained managers and weed out incompetent ones, to perpetuate the training experience beyond the classroom through an interactive network of course graduates, to recognize and anoint managers already tagged for promotion to the senior ranks, to facilitate two-way communications between senior departmental staff and line managers about a pending decision, or to build up the critical mass of managers similarly attuned to organizational change.

No single model was either fully articulated or unequivocally espoused by the programs we observed. Much of the model mixing we found was officially recognized, set forth in public descriptions of programs, fit together comfortably, and was quite legitimate. A lot of mixing stemmed from lack of coordination and resulted in an unintended "smorgasbord" program that pointed trainees in no clear direction. A lot of mixing stemmed inevitably from the different responsibilities and stakes that people had in a program. But this mix or "coexistence" among several models in a single program often produces ambiguity about the model or models in which the programs operated. As a result, people with different responsibilities developed divergent notions about trainee selection, staff hiring, instruction coordination, compliance with state program requirements, program amenities, needs assessment procedures, curriculum design, and other matters. Therefore, they often did not act in concert. The variation among models and the phenomenon of model mixing may be viewed as legitimate, incidental, or just inevitable. Regardless, they have enormous implications for how programs should be managed and evaluated.

5. How do programs stack up against the criteria for operation of an evaluable program, i.e., one in which resources can be effectively managed and an evaluation conducted with a reasonable chance of being useful?

Programs typically fall far short of the evaluability criteria. For example, program expectations and activities are generally not at all well defined. Significant gaps and contradictions exist between program descriptions offered by policymakers, program managers, and program operators. Program expectations are often implausible, in light

of general educational and training theory, the extent and types of resources brought to the program, the manner in which resources are used, and evidence of program relevance and effectiveness from prior program experience. Existing data collection systems documenting program effectiveness rely primarily on trainee reactions and final examination scores, which do not provide necessary and sufficient information to show whether programs succeed in changing the trainee's behavior on the job. Based on such conditions, it seems that most police management training programs are far from optimally managed and that a major investment in evaluation is not what they need.

Based on these conclusions, we offer recommendations for program management, operation, evaluation, and utilization to three groups: user agencies, program operators, and program managers.

1. User Agencies. We recommend that user groups:
 - o Become more familiar with the implicit and explicit objectives of available programs and determine whether these objectives are really congruent with the police agency's needs. Do this before deciding to contract for training with outside organizations and in selecting trainees for particular programs.
 - o Document the individual training needs that warrant sending a manager to training and communicate them to selected trainees. Make sure that before training supervisors negotiate a set of personalized learning objectives with trainees; after training debrief them on training outcomes.
 - o Make greater efforts to measure the relative effectiveness of various programs in influencing trainees to change in desirable ways. For example, review the intentions that trainees bring back from training and any demonstrated changes in trainee proficiency against agency needs. Be receptive to evidence that training has had a positive, or negative, or mixed effect on job behavior.
2. Program Operators. We recommend that program operators:
 - o Compare current developmental practice with the industrial model and identify steps where current practice departs from it. Analyze the benefits and associated costs of bringing practice into closer alignment with industrial standards. Direct particular attention to the feasibility and desirability of documenting the target audience's needs prior to program design and of later assessing the effects of training on job behavior. Do not make isolated changes just to come closer to the industrial model; first take a complete inventory of the program as it presently exists.
 - o Identify the external conditions that affect program development at each juncture of the process, assess their strength, identify the benefits of reducing their strength and the actions needed to do so, estimate the costs of these actions, and carry through on actions that promise valuable latitude in program development.

- o Clarify the program's assumptions about the problems that give rise to the need for training and about the feasible solutions to these problems. Similarly, clarify what resources are needed to carry out program activities, how activities interrelate, what in-program outcomes should flow from these activities, how these outcomes relate to each other, and what long- and short-term impacts result from in-program outcomes. Where assumptions and expectations are unclear or conflicting, work to sharpen these aspects of the program model or bring them into closer alignment.
 - o Periodically examine how well the program meets the criteria for evaluability by completing the Evaluability Check list. Do not try to evaluate program results without first assessing evaluability. If this self-assessment shows that a evaluation is not likely to be useful at present, then determine how adjusting program expectations, activities, and information systems might bring the program to a state of acceptable evaluability. Try to identify the full range of potential adjustments that might make the program more evaluable prior to undertaking particular adjustments.
 - o In program evaluations, focus where feasible on the central question: Does training make any difference in later job behavior? In designing a results-oriented evaluation, determine how the new data will relate to older data already being collected.
3. Program Managers: To program managers, including funding and oversight agencies, we recommend:
 - o Examine the relevance of industrial standards to program management, recognizing that program operators often perceive they have little to gain from following systematic program development procedures. If this review shows systematic development would improve job behavior or program documentation at a reasonable cost, then develop incentives and other supports for programs that adhere to industrial standards. If program developers depart from the industrial model in unacceptable ways due to lack of knowledge or skill, then initiate efforts to familiarize them with appropriate standards and to transmit needed program development skills.
 - o Determine if funding or legal requirements inadvertently reinforce counterproductive program practices. Modify them if they do. As a result, curricula requirements should reflect a reasoned process and be regularly reviewed for continued relevance. Annual training requirements should be complemented and sharpened by documentation of the individual trainee's needs. Instructor standards should reflect ability to work within the endorsed program models. Training should focus on implementation rather than knowledge. Evaluation should focus on changes in job behavior.
 - o Clarify the training model or models that operating programs are supposed to follow.

- o Cease the practice of rewarding trainees with certificates or monetary incentives for just sitting through a course and perhaps taking an examination. Try to get trainees to think of post-training implementation efforts as each course's final exercise. To foster this view of training, require trainees to report back to the program operator (or other appropriate person) on successes and problems faced in implementation efforts. Do not, however, tie reward decisions to the level of success in implementation.
- o Encourage programs to view documentation of their relevance and effectiveness as an integral part of regular operations, but emphasize the periodic assessment of program evaluability. Conduct evaluability assessments through a combination of program self-assessments, state-level audits, and review by outside evaluators. Work with programs to improve their evaluability, with a long-range view toward termination of programs that do not make adequate progress toward an acceptable evaluability level.
- o Promote the exchange of information among programs about program development practices, training strategies, and evaluation approaches.
- o Direct research efforts toward issues that have major implications for later policy and funding decisions and that pose data collection requirements beyond the capabilities of individual programs.

One: Introduction

A comprehensive study of police management training programs is important and timely for at least four reasons:

1. Upgrading The Police Managers' Capabilities. The demands placed on the police manager have seemed to increase geometrically. Never before have so many police managers been expected to display sophisticated management skills and know how. It is doubtful that managerial skill deficits can be met just through informal working contacts with others who have also fishladdered their way through the ranks and are, by their own admission, still little more than promoted policemen. Management training is probably the most efficient way to upgrade individual managerial skills.
2. Changing The Police Organizational Structure. Police agencies do not take to change easily. This resistance obstructs the introduction of tested innovations made by other police agencies and the general adaptation of business management principles to the police environment. Formal training programs happen to be one of the few accepted points of entry for introducing new concepts that could influence the organizational structure and orientation of police management.
3. Identifying State And Local Program Alternatives. For a variety of reasons, state and local agencies have increasingly tried to start their own police management training programs in recent years. This experimentation has gone on largely without benefit of knowledge about how programs are developed, managed, and conducted elsewhere in the country or about what practices ought to be emulated.
4. Identifying Program Evaluation Options. Opinion is divided over whether management training in any field is really evaluable. One side argues that it is impossible or unimportant to articulate the objectives of management training clearly and to evaluate its effects systematically. It sees management training as an "act of faith" and regards "gut feel" as the only feasible measure of program success. The other side subjects management training to greater scrutiny and insists that it show payoff and worth to the organization more concretely. This controversy and the continuing spread of state and local programs make it timely to explore how and when programs can be usefully evaluated.

In this introduction, we first lay out the broad range of expectations that people hold for police management training programs. Then we set forth the study's purposes, explain the differences between our approach and traditional

evaluations, describe the audience to whom this report is directed, and list our data sources. Finally, we outline the report's contents, the questions it seeks to answer, and the ways its information can be used.

Throughout this report, we define a police management training program as:

AN INSTRUCTIONAL SEQUENCE
OFFERED OUTSIDE A DEGREED ACADEMIC PROGRAM
FOR THE PURPOSES OF UPGRADING ONE OR MORE ASPECTS OF
SUPERVISORY OR MANAGEMENT PERFORMANCE
FOR THE ULTIMATE BENEFIT OF A POLICE AGENCY
TO CURRENTLY ACTIVE OR SOON TO BE COMMISSIONED POLICE
SUPERVISORS OR MANAGERS
WHO OPERATE ON THE STATE OR LOCAL LEVELS.

A. WHAT ARE POLICE MANAGEMENT TRAINING PROGRAMS EXPECTED TO ACHIEVE?

People expect police management training programs to accomplish a wide variety of purposes. This variation reflects different concepts of the police manager's knowledge and skill requirements, of the constraints that the police manager must know how to deal with, and of how careers can be shaped and law enforcement practices changed through training. Programs have been expected to result in:

- o Performance of the police manager's duties in closer compliance with the responsibilities and policies of the particular police agency
- o Improved confidence and morale in both the individual and the agency
- o Greater individual and agency effectiveness by adaptation of business management practices in the systematization of police administration
- o Movement of police managers away from authoritarian and toward more participative management practices, shown in more open communications, less reliance on sanctions as a motivator, and greater input into decision-making by the rank and file
- o Maintenance of a mutually reliant network of program graduates, shown in continuing contact and cooperative problem-solving among police managers in diverse agencies

The range of expectations held for police management training programs is much wider than this, however. Exhibit 1 shows more fully the range of outcomes and impacts people want to see resulting from police management training. Programs are not and need not be uniform; variation in expectations reflects the differences among the activities followed in different programs. (This point will become clearer in Chapter Four.)

EXHIBIT 1

NEP/Police Management Training

EXPECTATIONS HELD FOR POLICE
MANAGEMENT TRAINING PROGRAMS

Performance of the police manager's duties in closer compliance with the responsibilities and policies of the particular police agency

Maintenance of executive control over line managers in particular police agencies

Improved individual and agency confidence and morale

More thoughtful self-examination by police managers of their current and alternative managerial roles

Greater individual and agency effectiveness by adaptation of business management practices to the systematization of police administration

Greater receptivity to police management research and experimentation with innovative and demonstrably effective practices tried by other police agencies

Greater organizational capability to anticipate and adapt to changes in Federal and state laws and regulations

General expansion of the range of options normally considered by a police manager, due to heightened awareness of the need for responding to immediate situational factors

Movement of police managers and agencies away from authoritarian and toward more participative management practices, shown in more open communications, less reliance on sanctions as a motivator, and greater rank-and-file input into decision-making.

Improved individual capability in specific functional areas, such as budget preparation and personnel management

Development of attitudes and personal skills more in line with changes in police management systems

Greater police professionalism, shown in increased enrollment in advanced education and training

Reduced managerial turnover paralleled by the attraction of more qualified individuals to managerial jobs

Accelerated career development and achievement of departmental status in recognition of highly prized credentials obtained in training

Provision of a conduit for critical feedback to executives in agency decision making

Maintenance of a mutually-reliant network of program graduates, shown in cooperative problem-solving among police managers in diverse agencies

Development of a "critical mass" of trained police managers capable of initiating and guiding large-scale organizational change

Improved agency productivity and capacity to function in concert with other government and private sector organizations

B. WHAT ARE THE STUDY'S PURPOSES?

When this study was first planned, it had two broad purposes. The first was to describe the evaluation options open to police management training programs. The second was to develop a research agenda on the subject of police management training. To these two broad purposes, a third was added, upon urging by LEAA staff and the directors of Police Standards and Training agencies (POSTs). This was to assess the relationship between industry's structured and deliberate process for training program development and that actually followed by police management training programs. These three purposes, although inter-related, were distinct. In effect, we were almost doing three separate studies.

The study's ultimate purpose was not so much to influence the quantity and quality of program evaluations as to offer structured ways to think about what a given program is designed to accomplish and to identify ways of adjusting a program that will make it more manageable. Some early reviewers have referred to this report as a "frame of reference for future planning" and a "manual for rational program development."

C. HOW DOES THIS STUDY'S APPROACH DIFFER FROM TRADITIONAL EVALUATIONS?

In traditional evaluations, the study design is often planned and implemented in isolation from decision-maker interests and operating program realities. At often great expense, evaluators produce reams of data that are of little or no use to program managers and operators. One of this study's reviewers compared traditional evaluations of police management training to "putting the cart before the horse." This reviewer added that, "Once we in law enforcement get our act together as to what management training should consist of, then the problem of evaluation should be addressed."

The main concern of this study, however, is helping to create conditions that permit both useful evaluation and improved program management. In helping program managers and operators to "get [their] act together as to what management training should consist of," we focus on how training resources can best be used and on when and whether the results of training can usefully be measured. This practical approach rests on a simple assumption:

When a program does not meet conditions for evaluability, its managers and operators will encounter difficulties in making it work, demonstrating how well it works, or both. Periodically answering certain preliminary questions not only leads to more useful evaluation designs but also helps identify roadblocks to effective program management and the documentation of a program's success.

The practical evaluation approach we follow and recommend gives the person assigned evaluation responsibilities a variety of different activities in program evaluation, depending on the situation. The first is to describe the program in detail, including any obstacles or roadblocks to evaluability. The second is to work with program managers and operators to identify ways to remove

these roadblocks by adjusting expectations, altering activities, or upgrading the information system. The third is to help program managers and operators to select a strategy for improving the program. The fourth is to help monitor the implementation of the strategy. The fifth is to design and implement an evaluation approach that meets the program's needs but only after the other steps have been taken first. With the possible exception of the last these activities do not require the evaluator to have special training or skills in traditional evaluation approaches. They require primarily common sense and an open mind.

D. TO WHOM IS THIS REPORT DIRECTED?

In conducting this study, seven sets of individuals expressed interest in our work. They are: evaluators, researchers engaged in scholarly investigation, academicians and others with an interest in training or management theory, professional organizations, program managers (working in funding and/or oversight agencies), program operators, and decisionmakers in police departments.

To meet varied interests, we have written two main reports: a Technical Report and a Summary Report. The Technical Report we have directed primarily to the first three sets of individuals--evaluators, researchers, and academicians and others with an interest in theory--and to others who have occasional need for comprehensive, detailed information on particular topics. To meet the needs of practitioners, this Summary Report condenses and refocuses those parts of the Technical Report that should be of most use in answering questions about oversight and operation of programs. Some parts of the Technical Report have been dropped entirely from the Summary, especially those related to research. For a fuller discussion of any topic in the Summary, the Technical Report may be consulted. Other study reports are available on loan from the National Criminal Justice Reference Service.

E. WHAT ARE THIS REPORT'S DATA SOURCES?

It is not essential to grasp the study's methodology fully to appreciate the substance of the report. (For those with methodological interests, the methodology is described in the Technical Report.) Still, it is useful in reviewing any document to know the authors' sources. This report draws upon six major data sources:

- o Ongoing consultation with experts in the field of police management training and management training evaluation
- o Ongoing review of documents that deal with police management training or management training evaluation, including the limited number of completed program evaluations
- o Preliminary telephone surveys of POSTs, SPAs, and selected programs
- o Site visits to sixteen police management training programs, where we observed training; reviewed files; and interviewed program directors, trainers, other staff, and the trainees themselves

- o A large-scale mail survey directed to 250 police management training programs nationwide (to which 90 percent of active programs responded)
- o Experimental use at three programs of certain evaluation approaches

The study's methodology was both phased and iterative. This means that we did not simply draw up a set of hypotheses at the study's start, design a data collection strategy, collect the required data, analyze the data, and then stop. On the contrary, several means of collecting data were often used to develop progressively better information on a given question. Each task developed information that was used to sharpen the questions asked and to refine the products of other steps. The advantage of employing a methodology that encourages "successive correction" like this is that one can explore questions that were not anticipated at the study's onset while avoiding areas that turn out to be non-productive and unimportant.

F. HOW IS THIS REPORT ORGANIZED?

This report is organized in two parts, each centered on one of the study's purposes.

- o Part One (Chapters Two and Three) centers on the industrial model of program development. Chapter Two compares current practice with the industrial model of program development. Chapter Three examines the external factors that affect whether program development follows a reasoned path.
- o Part Two (Chapters Four and Five) offers new ways to think about program evaluation (and, hence, program management). Chapter Four outlines the 14 models of police management training observed in the field. Chapter Five discusses the evaluability of police management training programs nationwide and explains a self-assessment process for improving a program's evaluability.

Exhibit 2 shows how the report is organized. It presumes that many readers will find selective reading to be more appropriate in meeting particular interests than straightforward cover-to-cover reading. To aid this selective reading, the exhibit includes each chapter by number and name, indicates the data sources used to write the chapter (in decreasing order of importance), lists the questions the chapter addresses, and notes different ways in which the chapter can be used. We have declined to indicate a "most appropriate user" for each chapter because most chapters may be used in several ways, by different users. Each reader can determine what uses happen to fall within the scope of his or her interests and influence.

EXHIBIT 2

NER/Police Management Training

REPORT ORGANIZATION

Chapter or Appendix Number	Chapter or Appendix Title	Data Sources (in Declining Order of Importance)	Principal Questions Asked	Potential Uses of Information
Chapter One	Introduction	<ul style="list-style-type: none"> Other chapters of the report, or other study reports 	<ul style="list-style-type: none"> Why study police management training? What are the study's scope and purpose? How is the report organized? 	<ul style="list-style-type: none"> Determine whether the study is of interest. Determine which reports are of greater interest. Determine the priority with which specific parts should be read.
PART ONE				
Chapter Two	Program Development	<ul style="list-style-type: none"> Site Visits Mail Survey Preliminary Telephone Surveys Literature Review 	<ul style="list-style-type: none"> What generic steps does industry recommend that training programs follow in their development? What are the rationales for each step? Do police management training programs follow them? 	<ul style="list-style-type: none"> Assess how closely police management training programs <u>in general</u> follow industrial standards. Assess how closely a particular program follows industrial standards. Identify new approaches to program development.
Chapter Three	Factors Affecting Program Development	<ul style="list-style-type: none"> Site Visits Mail Survey Preliminary Telephone Surveys 	<ul style="list-style-type: none"> What forces beyond a program's control can affect a program developer's ability to follow the developmental practices of his choice? Are these forces so strong as to preclude following a reasoned developmental process? 	<ul style="list-style-type: none"> Assess the strength of forces that affect development of police management training programs <u>generally</u>. Identify the forces that affect a specific program's developmental practices. Assess the feasibility of overcoming the forces that affect program development.
PART TWO				
Chapter Four	Program Models	<ul style="list-style-type: none"> Site Visits Expert Consultation Preliminary Telephone Surveys Review of Program Brochures 	<ul style="list-style-type: none"> What different models do programs follow, distinguishing among them by their assumptions, activities, and objectives? Do the models focus just on substance or also on how training is meant to impact upon agencies? To what extent do programs clearly articulate a single model that they consistently follow? 	<ul style="list-style-type: none"> Identify the models a given program follows. Identify the activities a program <u>ought</u> to consider to be consistent with its objectives. Clarify how a course's substantive influence is meant to impact on the environment. Identify ways that a program may need to clarify its model, to be more internally consistent.
Chapter Five	Program Evaluability	<ul style="list-style-type: none"> Site Visits Review of Evaluation Literature Preliminary Telephone Surveys Mail Survey 	<ul style="list-style-type: none"> What are the criteria for program evaluability? What roadblocks impede program evaluability? How frequently is each roadblock confronted? What can be done to overcome these roadblocks and make programs more evaluable? 	<ul style="list-style-type: none"> Assess the relative potency of roadblocks to evaluability in programs <u>generally</u>. Identify the roadblocks to evaluability that affect a particular program. Develop a strategy for making programs <u>in general</u> more evaluable. Develop approaches for making a particular program more evaluable.

PART I: PROGRAM DEVELOPMENT

Industry's use of a generalized process for developing training programs has caused many people to ask, "How systematic can our own training programs hope to be?" The managers and operators of police management training programs are no exception to the rule. There is little or no agreement on the answer, however. Some people seem to think that these programs do not come even reasonably close to industry's model; they view this as a sign of mediocrity. On the other hand, there are people who question whether it is appropriate to demand that police training programs imitate the industrial model, especially in a "soft" area like management training.

This part of the report centers on industry's program development model by asking two questions:

1. What is the relationship between the industrial standards and actual practice in development of police management training? Step by step, how closely do these programs follow the industrial model?
2. What external factors influence how systematic program development practices can reasonably hope to be?

Chapter Two looks at the first question. It outlines a sequence of developmental steps from the industrial model, explains the rationales behind them, and describes how police management training programs are currently developed against the steps. By this analysis, we are not trying to judge the relative effectiveness of procedures; rather, we describe the consistencies and inconsistencies between the standards and current practice from point to point.

Chapter Three explores the second question. It examines external factors, largely beyond the program developer's control, that affect how closely program development practices can correspond with any chosen system. Some factors can affect program development at any point, from initial goal identification and needs assessment through program delivery and evaluation of results. These pervasive factors involve funding, legal requirements, organizational environment, community environment, and the ready availability of materials and resources from prior programs. Other factors influence program development at specific junctures. For example, departmental coverage requirements and the priority that user agencies place on training can dramatically affect availability of the type of trainee for whom a course was designed. Chapter Three describes in detail how factors like these affect how systematic program development can reasonably expect to be.

Two: Program Development Practices

To consider the question, "Do police management training programs follow the industrial model of program development?" we first need a program development framework. No generally accepted set of procedures for training program development has been promulgated, but in Exhibit 3, we draw on several sources to display a reasonably balanced progression of core developmental steps and related rationales. We do not mean either the core steps or their substeps to be viewed as definitive. They merely provide a frame of reference for ordering a description and analysis of practice. Each reader should have changes to recommend based on personal interpretation of the industrial model.

In practice, the steps can be adapted to accommodate the range of auspices and arrangements under which training occurs. They can be collapsed or combined when immediate need and resources so require. Often, conditions do not require or permit following the steps closely; and, in some instances, practices may shift over time. There can be vast differences between the original, trial-and-error developmental process and the later, more formalized process as programs move into higher gear.

In this chapter, we take each of these 10 core steps, break it down into substeps, and describe current practice in relation to the substeps. The information here can be used to assess how closely a particular program or set of programs follows the industrial model and to identify new approaches to program development.

A. STEP ONE: SETTING TRAINING GOALS BASED ON BALANCED INPUTS

The first step is to "set broad training goals based on balanced inputs from those to be affected by a proposed program." This step has four substeps:

- o Obtained balanced inputs from those with a potential interest in the program's operations and outcomes when establishing program goals.
- o Synthesize goal inputs and sort out their priorities and potentially contradictory emphases.
- o Set training goals that specify the conceptual thrust and scale of the proposed program.
- o Circulate proposed goals among parties that provided input to obtain feedback and secure commitment.

EXHIBIT 3

NEP/Police Management Training
CORE STEPS IN THE GENERIC PROCESS OF
TRAINING PROGRAM DEVELOPMENT

	Step	Rationale
Step 1	Set broad training goals based on balanced inputs from those to be affected by a proposed program.	Training goals express the general intent behind and direction for program activities, and suggest the scope of needs to be further assessed. When based on inputs from all parties to be affected by a program, they ensure that training reflects those conditions and demands that the trainee will face on the job and that program standards are coordinated with the operational standards of other criminal justice and community agencies.
Step 2	Conduct a needs assessment to refine the dimensions where discrepancies exist between current and desired levels of individual performance and/or organizational functioning.	Achievement of program goals requires determining with precision what performance deficiencies exist, specifying those changes in individual and/or organizational performance that are consistent with goals.
Step 3	Develop training objectives to meet identified needs in the context of overall program goals.	Objectives express the training outcomes seen as indicating satisfactory attainment of desired individual performance and/or organizational functioning in the context of overall program goals.
Step 4	Translate objectives into measurable success criteria reflecting, at a minimum, the substantive domain and projected performance levels for in-program objectives and, where feasible, the magnitude of post-program impacts upon trainee performance and organizational functioning.	To design and manage a program that promotes reaching objectives in an accountable manner, the achievement of objectives should be formulated in demonstrable terms.
Step 5	Design a program serving program objectives.	The design details how and with what resources the performance of tasks identified in program objectives is to be systematically brought about.
Step 6	Pretest trainees and/or their departments to determine pre-training performance levels.	Pretesting provides a comparative basis for potential evaluations of in-program trainee achievement, trainee on-the-job performance, and organizational functioning, and gives program staff advance information about trainees or their departments so the program can be tailored to address current trainee needs.
Step 7	Conduct the program in a manner that corresponds with program design and addresses actual trainee needs.	For program activities to address specified objectives and for intended performance changes to be demonstrated, sufficient controls must be placed on the program design that it is implemented as planned, yet flexibly enough to accommodate the immediate needs of the current trainee audience.
Step 8	Evaluate the in-program effects of training on participants.	Even where it is difficult to define how the program is linked to post-program outcomes, the measurement of those in-program outcomes under the program's control is often feasible, can provide useful information about program effectiveness, and suggests modifications needed in objective setting, design, or implementation.
Step 9	Evaluate the effects of training on the work setting in terms of trainee performance and/or organizational functioning.	Where the links between in-program outcomes and later trainee performance and/or organizational functioning are sufficiently well-defined, or where trainees have at least clearly articulated their own perceived performance deficits, the measurement of training's impact on the work setting offers the strongest evidence of a program's goal-attainment.
Step 10	Use evaluation results in subsequent program development and revision.	Evaluation results can not only document the extent of program effectiveness, but also suggest ways in which the program or its environment need to be changed.

1. Obtaining Balanced Inputs From Affected Groups. Program developers do not draw on diverse criminal justice and community agencies in establishing initial program goals. Only four sets of individuals exert strong influence on program goals: program staff, program instructors, POSTs, and police chiefs and executives from user agencies. Four other groups have only moderate influence on goals: training directors from user agencies, program advisory board members, graduates of related programs, and local academic institutions.

It seems that program developers often either presume program goals, based on their own intimate experience with training needs, or carry goals over directly from existing or prior programs. If they solicit input from law enforcement agencies, they generally do so informally, through casual conversation and observation of operations. Informal input is sought mostly from senior departmental officials and training officers but rarely from all ranks. Formal input, if sought at all, is obtained from user group executives in group settings. Formal input is also sometimes sought from trainees through a reaction survey. In most cases, however, even where input is systematically sought from directly affected groups in law enforcement, the program's goals have already been largely determined, and those contributing apparent goal inputs are generally asked to focus on specific topical and content needs rather than on the program's overall scope and scale. Their periodic inputs serve more to reaffirm goals than to create them.

2. Synthesizing Goal Inputs. Because program developers typically obtain goal inputs from relatively restricted user groups, prioritization and synthesis do not become issues until later, in the needs assessment process. The synthesis of divergent goal inputs usually leads to a "decision not to decide," i.e., to couch clashing notions of the desirable direction for the program in neutral language that masks differences in perspective.

3. Setting Training Goals. Whether based on systematic inputs from affected agencies or on administrative fiat, each program ends up with certain goals, some explicit and others implicit. These goals generally specify the scale of a program (week-long traveling management schools, an eight-hour department-based program, a three-week residential program, a career development sequence involving each officer in 40 hours of in-service training per annum, and so on) more clearly than a program's conceptual thrust, which is more subject to debate. The conceptual thrust of a program is generally articulated in terms that all of the diverse projected (but probably not consulted) user groups will find palatable. Most programs express their scope largely in terms of "exposure to" a set of concepts, divorced from explicit notions of changes in police agencies.

4. Circulating Proposed Goals Among Those Providing Goal Inputs. When goals largely reflect departmental command and executive decision, the circulation of goals through the chain of command is intended to ensure commitment, not to obtain feedback. In programs serving multiple agencies, proposed goals are typically circulated only to probe affected groups, especially chief executives, about the precise dimensions of training need. Except in isolated cases where goals are formally presented to an advisory board or similar body for review, the circulation of program goals presumes general commitment and is designed to trigger or continue the task of needs assessment.

B. STEP TWO: CONDUCTING AN ASSESSMENT OF TRAINING NEEDS^{1/}

The second step is to "conduct a needs assessment to determine exactly where discrepancies exist between current and desired levels of individual performance and/or organizational functioning." This step has at least two substeps:

- o Specify the scope of needs to be assessed in terms of: target population characteristics, organizational vs. individual emphases, functional areas of interest, and standards against which individual and/or organizational performance might be assessed.
 - o Develop and implement a needs assessment plan employing techniques that are both appropriate and feasible within resource constraints.
1. Specifying The Scope Of Needs To Be Assessed. In preparing to collect information to clarify exactly where current individual performance or organizational functioning is inadequate, most program developers have a clear notion of the level and general responsibilities of the intended target population. Beyond this, they do not know whether the needs assessment is to focus on individual development or organizational change. Where this emphasis has been clarified, they still do not know the exact functional areas of interest. Except in a limited number of compliance-oriented programs, program developers have little or no idea at this point of standards against which individual and/or organizational performance might be assessed. This is because programs tend to focus on broad individual development, as will be reaffirmed throughout this chapter.

2. Developing And Implementing The Needs Assessment Plan. A wide range of activities pass as "needs assessments." Some are formal, many are informal. Some are directed to the target audience, many are more diffuse. Our national survey showed that program developers rely strongly on only two techniques "to clarify the nature of the performance deficiencies giving rise to the need for training." These are: informal interviews with chiefs and other user group executives, and informal interviews with program graduates. Program developers rely with moderate frequency on formal surveys of incumbents and user group executives and on other techniques. Little use is made of individual testing of the target audience, formal surveys of entire agencies, management audits of participating agencies, and so forth.

Our field observations generally support the national survey. Prior to program design, training needs are assessed largely through informal conversation

^{1/} Needs assessment is the most hotly debated issue in program development. Analysis of needs assessment models fell outside the scope of this study. Two ongoing LEAA-funded studies deal directly with needs assessment: Gil Skinner at Michigan State University is developing a series of manuals on program development and needs assessment; and Travis Northcutt at the University of South Florida is analyzing alternate approaches to training needs assessment. In addition, in Chapter Six, we discuss a standardized instrument, called the Managerial Training Needs Profile, that can be used to design a course, select participants, and/or evaluate results.

with chief executives about departmental needs and with former trainees about the usefulness of prior training. If formal surveys of incumbents or user group executives are conducted, they usually solicit topical recommendations. The more complex surveys not only identify topics of interest but also prioritize topics and specify the desired content. The periodic topical survey, however, does not attempt to pinpoint performance deficiencies; instead, it moves right to the task of curriculum construction.

Instead of examining the performance deficiencies or topical interests of the target population, the program developer often borrows related information from other jurisdictions in lieu of doing a formal needs assessment. Our national survey showed that program developers rely heavily on two existing information sources to determine training needs. These are: needs assessments developed for prior programs in the same jurisdiction and course specifications and curricula outlines from recognized programs. We might question what they mean by "needs assessments developed by prior programs," given what often passes for needs assessment. With lesser frequency, they also use centralized data on the training histories of the target population, studies of police manager effectiveness and national standards on police manager needs. Typically, the program developer weighs any or all of this borrowed information along with informal discussions with chiefs and program graduates and moves directly to curriculum development without clearly stating performance deficiencies and articulating objectives.

In conclusion, little empirical needs assessment takes place before a program is designed. The typical assessment hardly begins to tap the perceptions of target population incumbents about deficiencies in performance and organizational functioning, tends to overlook changing concepts of the police manager's role and of police organization, and is too sensitive to what police managers want rather than what they need. It moves too rapidly from identification of topical interests to curriculum development without first locating gaps between current and desired performance, determining whether these deficiencies are really correctable through training, setting objectives to help fill these gaps, and then establishing a curriculum to meet objectives.

C. STEP THREE: SETTING TRAINING OBJECTIVES

The third step is to "develop training objectives to meet identified needs in the context of overall program goals." This step has four substeps:

- o Synthesize needs assessment results with the original inputs to goal setting to provide the basis for setting training objectives.
- o Identify deficiencies in individual performances or organizational functioning that can be addressed effectively through training.
- o Formulate in-program objectives in terms of outcomes that are under the control of program staff and are, hence, plausible.
- o Show how these in-program objectives are linked to longer-term objectives involving on-the-job performance and larger organizational impacts.

1. Synthesizing Needs Assessment Results With Goal Inputs. Because program developers tend to obtain goal inputs and needs assessment data at the same time, both through a prematurely administered topical interests survey, the issue of synthesizing the two usually does not arise. There are cases where this synthesis is warranted and does occur, however. The initial executive-sanctioned goals for one municipal program called for a day of activities to "correct bad habits." Before he designed the program, the training director conducted a survey of all ranks to determine their common perceptions of a first-line supervisor's training needs. He then synthesized these with an existing departmental task analysis. When the results of these synthesized needs assessments showed the need for a refresher/update program, the original scale of the program was expanded and the corrective and update purposes for training were merged.

Typically, the program developer is in the position of reconciling informal conversations, topical surveys directed to several affected groups, and other information borrowed from outside the jurisdiction into a coherent needs profile. However, a holistic approach is rarely taken. Instead, the results and implications of one needs assessment are either adopted in entirety or are altered radically by the inputs of one affected group.

2. Identifying Deficiencies Remediable Through Training. More often than not, as we have already noted, programs specify broad topical interests rather than particular deficiencies in individual performance or organizational functioning. Presumed deficits are not spelled out and remain implicit. There may also be variation among program operators in what they see as "the problem." To the extent that they identify deficiencies at all, do they separate those that are remediable through training from those that are not? It does not appear so, even through program operators think this is important. They view training as one among many means for upgrading police managers and the management of police agencies. They also take the position that most police agencies, even while making training a low priority, have traditionally relied on it too heavily. Most agencies have expected from training what might be more effectively accomplished through other means. These include better procedures for assessment and promotion of managers, job exchanges, job enrichment, and several forms of internships.

3. Formulating Plausible In-Program Objectives. It is hard to say whether the objectives that are set for accomplishment within a course are under staff control and are, hence, really plausible. To do so, one has to consider both explicit and implicit objectives, the amount of resources brought to the program, the effectiveness with which resources are mobilized, and the relationship between expectations and confirmed general theory.

Most program managers and operators do not make explicit all the objectives they intend to accomplish; and many of those explicitly stated are still unclear. The most explicit and clear objectives generally refer to transmittal of a body of knowledge. When program objectives refer to transmittal of a body of knowledge and development of skills for using it, these objectives tend to be under the program's control. In part, this depends on the instructional staff's ability to accommodate the immediate trainee audience's needs. Objectives

become progressively less plausible when the program operator has not clearly delineated the body of knowledge to be transmitted, when instructors fail to cover material or neglect to reinforce each other's presentations, or, in the extreme case, when instructors contradict other presentations without attempting to acknowledge legitimate differences. Efforts to transmit a body of knowledge can, thus, be implausible because content is ill-defined, because resources are inadequate, or because resources are ineffectively used.

Objectives dealing with attitude change are generally less under staff control. The intensity and duration of most programs are insufficient to "shake" or "crack" deeply entrenched attitudes, much less to change them radically. The typical program can control transmittal of knowledge and acquisition of skills (or tools) for using this knowledge. It can also control whether certain structured experiences, geared to reinforce knowledge and trigger attitude change, take place and whether trainees can attach appropriate explanatory concepts to these experiences. But, except where a program contains a mechanism for prolonging the training experience beyond the single course--either through a network of program graduates or a structured career sequence--significant in-program attitude change is rarely a reasonable expectation. At best, most programs can only hope to make trainees feel uncomfortable with the incompatibility of current beliefs and new knowledge. In time, gradual attitude change can occur if work experiences confirm that the new knowledge is valid.

4. Linking In-Program Objectives With Longer-Term Objectives. Most program operators say they cannot pinpoint how they want in-program outcomes to affect job behavior and the work setting. It seems that those with a clear and plausible conception of the results they want to see within the program are usually better able to define what can be expected to follow once the trainee returns to the job.

Instructors in most observed programs differed not only in their opinions of what trainees should know but also in the changes in individual performance and departmental functioning that they found acceptable. In many programs, more than one logically consistent set of expectations seemed to be in play simultaneously, as if two partially articulated programs existed side by side. When several models were partially integrated in this fashion, in-program objectives were not clearly tied to longer-term objectives. Rather, the expectations of one seemed to neutralize or overshadow those of the others. This may be simply another way of saying that clear and plausible in-program objectives, united by a central theme, may be the precondition to adequate definition of how training outcomes will affect the world of work.

D. STEP FOUR: TRANSLATING OBJECTIVES INTO CRITERIA FOR SUCCESS

The fourth step is to "translate objectives into measurable success criteria reflecting, at a minimum, substantive domain and projected performance levels of in-program objectives and, where feasible, the magnitude of post-program impacts upon trainee performance and organizational functioning." This step has at least 2 substeps:

- o Identify acceptable empirical criteria to indicate the attainment of in-program objectives and, where feasible, related post-program objectives.
- o Identify multiple complementary criteria for "softer" objectives not readily amenable to measurement.

1. Identifying Empirical Success Criteria. Most programs do not identify empirical criteria for measuring attainment of objectives. Based on our national survey and site visits, 40 percent of programs have at least tried to do this. Some employ "terminal performance objectives," which set forth knowledge or behaviors to be demonstrated during or at the completion (or terminus) of training as evidence that particular objectives were attained. When we looked at these programs, however, most instructors could identify the criteria but many did not actually use them either to guide instruction or to measure outcomes. Sometimes curricula had significantly changed but criteria remained the same. This suggests that the criteria served as part of a contractual agreement or fulfilled other requirements. Even when criteria were not systematically used, they still seemed to increase consistency in program implementation.

2. Identifying Complementary Criteria For "Softer" Objectives. Of those programs that employ terminal performance objectives, only experiential programs generally identify more than one way to measure the more abstract objectives. Assimilation of conceptual material was measured two ways: paper-and-pencil testing of knowledge and successful completion of a structured experience or other simulation exercise demonstrating that this knowledge was assimilated.

E. STEP FIVE: DESIGNING A PROGRAM TO SERVE OBJECTIVES

The fifth step is to "design training that serves program objectives." This step has 7 or more substeps, including:

- o Specify the learning principles on which the training will be based and the instructional approaches for best satisfying program objectives.
- o Develop a curriculum that corresponds in content and instructional technique with objectives and that specifies the amounts and types of information to be presented.
- o Establish trainee selection standards in line with the training needs to be addressed by the program.
- o Establish employment standards for trainers that require familiarity with subject matter, capability in training, compatibility with program philosophy, and rapport with trainees.
- o Develop evaluation instruments that measure plausible outcomes as part of program design.

- o Coordinate program design with any similar programs offered by the same organization in related topic areas.
- o When contracting with an outside organization to conduct training, ensure that their design meets program goals and objectives.

1. Specifying Learning Principles. Most programs rely mainly on traditional lecture and discussion methods without clearly stating the learning principles, or conceptual rationales, for the instructional techniques that they use. Programs that specify learning principles usually focus on the importance of involving the adult learner actively in the learning process. Such programs operate on the principle that involvement in learning leads more rapidly to internalization of knowledge and to the assimilation of behaviors into one's repertoire. To involve the adult learner, these programs stress the value of programmed materials that sensitize the trainee to concepts before they are formally introduced, written active exercises, structured group experiences, and other manipulated trainee interactions. One instructor who believes in active learning said to us that "If a picture is worth a thousand words, an experience is worth a thousand pictures." Another program specified an organizational development model that involved confronting trainees with an ideal system, gradually moving them toward it, and finally developing an implementation plan that commits trainees to trying new ideas. Programs that specify learning principles behind their instructional approaches are the exception rather than the rule, however.

2. Developing A Curriculum That Reflects Objectives. Do the curricula that programs adopt really correspond with their objectives? This was among our major interests on site visits. Initially, we started to examine three related questions: Does the substantive content of curricula correspond with objectives? Do curricula specify instructional techniques appropriate to these objectives? Do curricula describe the amount and type of information to be presented in enough detail to give meaningful direction to instructors?

It quickly became clear that most programs state objectives so obscurely that the whole question was almost moot. To guide the instructional process, nearly all programs provide a general outline of curriculum topics. Two thirds have broadly articulated course objectives. Forty percent provide instructors with module-by-module course content summaries and assume that objectives will be self-evident. A like number use terminal performance objectives. The problem is, when course outlines and objectives do not detail intended instructional methods and course content, the objectives tend to become whatever the available instructors choose to make them.

We can still deal with the issue, although in a roundabout way, by shifting our focus slightly. Are course outlines sufficiently detailed that course objectives may be inferred? Are the contents internally consistent? Are instructional methods appropriate to content? Because programs lack consistently clear objectives, this new set of questions is more appropriate.

Our visits to programs strongly suggest that, if a program sets clear objectives that are held together by a unifying/central theme or themes, then its

curricula usually specify the content and method that are appropriate to the objectives. Such curricula enumerate the amount and types of information to be presented in enough detail to guide instruction. By contrast, where a program's objectives are unclear and do not center on a unifying theme, it is difficult or impossible to infer objectives from course outlines. Content appears internally inconsistent, and almost no mention is made of instructional methods. Trainees and instructors alike often referred to this type of curriculum as a "vegetable garden" or "smorgasbord" approach to training. Even programs with clear objectives often do not specify the instructional method or allow for a method that may be inconsistent with objectives. This discrepancy is especially obvious in curricula that promote participative concepts but do not call for participative teaching methods.

Most program developers agree in principle that curricula should be designed to serve objectives. They also agree that curricula should be modified to reflect changes in objectives brought on by sensitivity to evolving needs. Yet curricula have typically been generated through consensual development. As one POST administrator noted, "People sit around a big table and play a numbers and titles game. They never get to focusing on job content. The system is crazy. Curricula are developed by the seat of the pants." And often these curricula, on or off the mark when formulated, become "etched in stone" and continue to provide the framework for instruction long after their use has become counter-productive.

3. Establishing Relevant Trainee Selection Standards. Programs claim to use a wide range of criteria in selecting trainees. There are certain ones that have relatively stronger or weaker influence for all programs. On the national survey, program managers and operators rated only two criteria as highly important: current responsibilities and rank. Two criteria are of moderate importance: recommendations by supervisors and individual's demonstrated training needs. Many criteria that one might expect to be highly relevant to selection decisions are apparently not considered important. Six criteria deemed of low importance are: other prior training, "promise" for higher levels of responsibility, time elapsed since last participation in a career sequence, time in grade, scores on promotional exams, and prior education.

Our on-site observations help explain why certain selection criteria should not be expected to have uniform relevance to all programs. There seem to be four distinct models of trainee selection. They reflect the varying auspices and financial arrangements under which programs are conducted and the divergent purposes behind training.

- o Preservice and other rank-related selection. Found in programs offered under the auspices of a single department, criteria primarily reflect scores on promotional exams and time in grade. Criteria tend to be strictly enforced by a department's training division.
- o Career progression selection. Ordinarily found in programs certified by a POST Council, and offered under varying auspices, main criteria are rank, responsibility, and completion of prior installments of a

defined career sequence. Other criteria might include: prior education, other prior training, time in grade, and time elapsed since last participation in the sequence. Criteria are generally prioritized, and the offering agency has flexibility in obtaining "waivers" of criteria to fill a class.

- o Departmental discretion selection. Ordinarily found in an independent program based at an academic institution, criteria state the rank and other characteristics of the person most appropriate for the program. It is up to the department to use its discretion in selecting those who warrant training. Designated trainees are generally accepted by the program on a first-come, first-served basis.
- o Status selection. Found in only a few select organizations, criteria reflect the immediate or projected status of the participants who are "creamed" from a pool of applicants. Suitable trainees are those who hold the chief or other senior executive position in a major law enforcement agency, are recommended by prior participants and immediate superiors, have an untainted record as shown by background investigation, and correspond with the desired geographical mix for a given class.

Nearly all programs claim to use one of the four selection models above. However, from the perspective of the trainee whose department has to mesh its own needs with the selection standards of available programs, selection often seems capricious. Trainees ordinarily have no way to know whether they were selected for training as a reward or sanction, in recognition of their promise, or because they are in need of correction and a "kick in the pants." The criteria for selection remain implicit at best. Many selection decisions seem to be made oblivious to relevant facts. Thus, the trainee often embarks on training asking, "Why me?" Regardless of official criteria, it often seems that neither training programs nor user agencies try to establish standards that focus on the individual trainee's documented needs or later prospects for implementing new knowledge and skills.

4. Establishing Relevant Employment Standards For Trainers. As in trainee selection, certain criteria have relatively stronger or weaker influence in hiring trainers for all programs. Based on our national survey, the consideration of paramount importance is experience directly related to the subject area. Several other criteria are also highly important: law enforcement experience, sincere interest in teaching police officers, experience as a teacher in the subject area, advanced academic achievement, evidence of capability such as a sample lesson plan, and completion of an instructor's course. Other criteria that appear to have little or no importance include: congruence with the program's philosophy, as shown in oral interview; immediate rank in department; personal recommendation by another instructor; university teaching experience; national recognition in the subject to be presented; and graduation from the program. Some criteria rated highly important tend to be procedural (e.g., submission of a sample lesson plan), whereas some rated of low importance appear more relevant to hiring decisions (e.g., congruence with the program's philosophy as shown in oral interview). Our on-site observations, again, help

amplify the survey data. The criteria that are rated highly important tend to be supported by official policy. The criteria rated relatively unimportant are rarely backed by policy but, in many cases, carry more weight in the actual hiring decisions than those rated highly important. Personal recommendation by another instructor or graduation from the program are often subtle, unofficial criteria.

Most programs recognize that the appropriate credentials for instructing police managers in management cannot be stated unequivocally and depend on the program's exact purposes. Therefore, they allow for a mix of backgrounds. Few officially demand that trainers have experience in law enforcement. Most permit compensating criteria, such as:

- o Several years of experience in law enforcement or an equal time in a field directly related to the topic
- o Advanced academic achievement and several years in law enforcement or graduation from the program

Most programs do not explicitly call for compatibility with program philosophy. This may be because program operators do not generally recognize that management training philosophies can vary. Criteria of most programs include familiarity with the subject matter, capability in training, and rapport with trainees. Those that require law enforcement backgrounds do so on the assumption that only those who have "been there" (i.e., have served as police officers) can relate to and be accepted by police trainees. This assumption fits certain training models but has been sharply contested by some programs.

5. Developing Evaluation Strategies As Part Of Program Design. Program developers give little thought at the time of program design to evaluation strategies. The general exception are programs using terminal performance objectives, which often develop program examinations in accord with success criteria during program design.

6. Coordinating Design With Similar Programs. Nearly all visited programs made deliberate efforts, when offering courses at more than one level, to weave common threads throughout their offerings so that one course would logically and systematically progress to the next. POST-certified curricula generally include building blocks to be expanded in later courses, thus ensuring both differentiation and compatibility among programs. Most organizations begin with a single program and find either that its graduates want to return for a higher-level course or that new applicants require lower-level courses. They initiate additional courses to meet demand.

7. Ensuring Contractor's Design Meets Goals. When outside organizations are contracted to deliver training, their selection is rarely based on clear definition of program objectives. The contracting process often moves directly from the administrative decision to "go outside," to the solicitation of proposals, to the award. In the words of one POST training coordinator, "the proposal that is bought is taught." The contracting agency often presumes that goal clarification and identification of objectives are the contractor's exclusive burden. Training vendors, however, vary in the amount of energy and time

they are willing to invest in helping the contracting agency clarify goals and objectives after a contract has been signed. Typically, contracting agencies make minimal efforts to clarify goals and objectives before they purchase services and have little influence over predetermined course objectives and packaged curricula afterwards.

F. STEP SIX: PRETESTING TRAINEES AND/OR THEIR DEPARTMENTS

The sixth step is to "pretest trainees and/or their departments, to determine pretraining performance levels." This step has 3 substeps:

- o Pretest trainees to measure relevant aspects of knowledge, attitudes, and/or skills.
- o Survey co-workers to determine their opinions of the trainees' needs.
- o Where the program focuses on specific departments, obtain measures of overall organizational functioning on selected performance indicators.

1. Pretesting Trainees For Knowledge, Attitudes, And/Or Skills. Few programs formally pretest trainee knowledge, either to make comparisons with posttests or to provide instructors with a profile of trainees' achievements and informational needs. Even programs that systematically test against terminal performance objectives ordinarily do not pretest. One rationale that several programs expressed for not routinely pretesting knowledge is that the pretest focuses trainees on taking notes for a posttest and distracts them from the training experience. The national survey shows that some instructors obtain general information at the initial class session and use it to structure the course, but with no intention of a posttest.

2. Pretesting Co-Worker Perceptions Of Training Need. Few programs conduct a pretraining survey of the trainees' superiors, peers, or subordinates that would qualify as a real pretest. About twenty percent try to obtain information from superiors about the trainees' training needs and/or management style. Few try to obtain similar information from peers or subordinates. Often, the program obtains this information in applications, not through formal surveys. In most cases, there is no real pretest because there is no intention of a follow-up to determine changes in these perceptions.

3. Pretesting Organizational Functioning Or Departmental Indicators. Notably little effort is made to develop data on overall agency performance before training. The virtual absence of measurement probably reflects uncertainty about the eventual impact of training on the agency and the criteria by which management performance and agency productivity should be assessed. This decision not to pretest agency performance is probably appropriate in most situations for two reasons. First, police managers are generally not selected for training according to individual need. Second, because trainees participate in disparate programs that have varied emphases and divergent management philosophies, systematic results are simply not plausible.

G. STEP SEVEN: IMPLEMENTING THE PROGRAM DESIGN

The seventh step is to "conduct the program in a manner that corresponds with program design and addresses trainees' actual needs." This step has seven substeps:

- o Control trainee selection so that enrollment standards are maintained.
- o Control the hiring and retention of trainers so that employment standards are maintained.
- o Coordinate trainer activities to ensure their initial acceptance of program goals, objectives, and instructional processes and to maintain this commitment.
- o Implement a formal procedure to monitor trainer compliance with program content and process requirements against objective criteria.
- o Maintain rewards and sanctions for successful and unsuccessful completion of training.
- o Obtain advance information on the backgrounds, perceived training needs, and current management problems of trainees, and provide this information to trainers prior to the commencement of the training session.
- o Ensure that trainers respond to the actual needs of each training class by adapting program content and methods consistent with overall goals and objectives.

1. Maintaining Trainee Selection Standards. Control over trainee selection appears strongest when two selection models dominate: pre-service and other rank-related selection and status selection. Control is less consistent when career progression and departmental discretion models of selection predominate. Programs that use the latter two models are likely to become less stringent under three circumstances:

- o When in formative stages, in the attempt to develop a clientele
- o When faced with declining demand, in the effort to "hang on"
- o When confronted with budget justifications that require inflating the population of program graduates

The opportunity to exercise control over selection is lowest for "roadshows," or field programs, conducted by academic institutions, professional associations, and the FBI. Because they usually do not arrive on-site until the delivery of training has been scheduled, field programs depend on the local sponsoring agency to select trainees in accord with agreed-upon criteria. In practice, the local agency often assembles a class much larger, more heterogeneous, and lower in average rank and responsibility than promised. Occasionally, the opposite happens. This low control is found in all programs that allow individual departments or other sponsoring agencies to define and enforce selection standards.

Deliverers tend to lose control because the local agencies have different purposes for sending officers to training.

2. Maintaining Trainer Employment Standards. Standards for hiring trainers are so varied and allow such latitude for weighing alternate credentials that it is often hard to tell what standards are being maintained. Few instructors in the programs that we observed lacked the minimum teaching credentials required by their programs. Some other interesting patterns emerged, however. First, program operators make little effort to determine if new hires support the program's general philosophy of management training. Second, although programs claim to base hiring decisions on three considerations--familiarity with subject matter, capability in training, and rapport with trainees--in practice, most seem content if applicants convincingly meet their demands on two of the three, expecting that "the rest will come out in the wash" through surveys of trainee satisfaction. Third, programs do not hire trainees for their familiarity with the subject to the extent that one might expect from official criteria. More importance seems to be placed on trainer-trainee rapport than other considerations. Most of the programs that we observed primarily hired instructors with law enforcement experience, even though this was not required. They nominally represented those with business or educational backgrounds on their staffs. When a program totally lacked a unifying theme and objectives, there was a strong tendency to hire almost solely on the basis of local prominence and "drawing power." Fourth, most programs put a premium on experience directly related to the subject area only if this experience was obtained in law enforcement and if the candidate already had prior experience as a trainer. There is a strong tendency toward inbreeding and the rejection of "new blood." These patterns suggest that many program operators do not have a clear picture of their program's purposes and of how hiring decisions should support them.

3. Coordinating Trainer Activities. Most programs spend minimal energy trying to ensure a trainer's initial acceptance of its goals, objectives, and instructional processes and to maintain this commitment. Except in small programs, rarely are faculty convened to become more familiar with each other's presentations, identify common themes, and define an effective course progression. At best, coordination is typically performed by one individual who observes each new instructor to get a sense for his rapport with the class and to identify unnecessary duplication in content.

4. Auditing Trainers' Compliance With Curricula. Spot observations of individual trainers are performed in most settings. They are done on the initiative of the sponsoring agency or, in some cases, an oversight agency, such as a POST Council. Periodic audits, usually short in duration and focused on the discrete module being presented, can examine physical arrangements and other logistics, content and methods, personal presence of instructor, general atmosphere, nature of trainer-trainee interaction, and so on. However, even when such audits are conducted by an oversight agency, the auditor's assessment is rarely predicated on a clearly defined set of evaluative criteria or systematic observation procedures. This absence of standardization can become a problem when several auditors operate in a single jurisdiction.

5. Maintaining Rewards And Sanctions For Training. The effective use of rewards and sanctions can be viewed from two perspectives: Does the system promote in-program learning? Does it encourage post-program utilization of what is learned? First we have to identify the rewards and sanctions that programs control. Nearly all control issuance of a certificate of completion. A smaller number influence academic credit, pay incentives, management certification, and other incentives. To obtain a certificate of completion, a trainee is generally obliged to attend a specified percentage of classes (generally about 90 percent), although attendance is often inconsistently monitored. Two thirds require that trainees "participate actively in all attended sessions." Sixty percent require passing one or more exams. One third or fewer require a class presentation, group project, the display of certain behaviors to the instructor's satisfaction, a paper, or a notebook. To obtain academic credit, the trainee may have to fulfill more stringent requirements, but generally just has to write a paper and/or pay an additional fee.

Do programs encourage a high level of learning? One may argue that they do not because a trainee must merely be present in class, perhaps take an exam or two, and perform several other ungraded tasks to obtain a certificate of completion. Except where academic credit is given, trainees have nearly a 50-50 chance of not ever obtaining a grade to indicate performance level. In some programs, it was clear that the cut-off grade on the final exam was adjusted to allow all to pass. There are strong arguments for another view, however. The mix of academic backgrounds in a typical class not only could make a more competitive situation unfair but also could discourage officers who have long avoided competitive academic situations from attending at all. A competitive situation could shift focus away from active participation to preparing for an examination. This could deter those with different backgrounds from interacting freely and obstruct development of a class network.

The second question, about use of rewards to encourage post-program utilization, was articulated most clearly by the director of a POST Council. He argued that, "We need to look at the issue of whether people are going to use knowledge or just plaster walls with certificates." On the assumption that programs currently overcertify and fail to see feedback about utilization as an integral component of the training process, he argued that, "People should first know what expectations are placed on them. At the end of training, no credential should be given. Then, six months after training, the individual must demonstrate how training has been used. Only then should a certificate be awarded." Virtually no programs require such evidence of implementation. The concept has some appeal, but there are strong arguments against it, too. Expectations imposed on an individual trainee are often difficult to identify or are inconsistent. Much training focuses on shaping effective managers through long-term career development and a gradual build-up of the organizational capability for change rather than on immediate implementation. In this light, it might be more appropriate to require evidence of implementation efforts than evidence of successful implementation.

6. Obtaining Advance Information About Trainees. Many programs try to obtain advance information about trainees, but the types of information collected

and means for their collection vary. All that most programs get is general biographical information on such items as law enforcement experience, educational achievement, and prior related training. Some also obtain baseline information on trainees' knowledge or skill levels, trainees' or superiors' perceptions of training needs and/or management style, and other information. Few collect pre-training measures of job behavior, personal and career goals, attitudinal or personality measures, or peer ratings.

The means for collecting this information also vary. Half the time it is obtained through applications. One third of the time it is obtained at the initial meeting of trainees with program staff. Rarely is it gotten by individualized testing, review of departmental performance data, direct observation of job performance, formal pretraining surveys, or assigned prework. To compensate for the lack of true advance information, many instructors conduct exercises early in a course or module to let trainees share their management problems, personal course objectives, and training needs.

7. Ensuring That Trainers Accommodate Trainees' Actual Needs. Detailed advance information about trainees and their needs, if available, is used to seed classes and discussion groups, to promote and structure interaction, to focus instruction, but primarily in two ways: to adjust the overall level of presentation and to add supplementary exercises and materials that focus on the overall immediate needs of a class. It is rarely used as a comparative basis for evaluation, to select trainees and assign them appropriate sessions, to give individual attention to trainees, and to provide a framework for trainee development of personal action plans.

Whether trainers can systematically accommodate actual needs of the immediate audience depends on how familiar the instructors are with their material; how extensively the instructors use experiential methods; how early in a course, or how far in advance, instructors can obtain information on trainee backgrounds and particular needs; how much discretion instructors have to switch materials or modify objectives; and whether training materials are available other than those originally planned for use.

H. STEP EIGHT: PERFORMING IN-PROGRAM EVALUATIONS

The eighth step is to "evaluate the in-program effects of training on participants." This step has 2 substeps:

- o Assess trainee satisfaction with the program's logistics, contents, manner of instruction, and projected usefulness.
- o Utilizing established success criteria, evaluate in-program effects of training, such as increases in knowledge, improvement in skills, and changes in attitudes.

1. Assessing Trainee Reaction To Training. The much-maligned reaction survey, course critique, or "happiness evaluation" comes closer than other measures to being the universally accepted barometer of the success of training. This does not mean reaction surveys measure everything that is attributed to

them, only that nearly all programs conduct one. Described by one POST administrator as "an exercise in going across the page and filling in a continuum of smiling and frowning faces," course critiques actually vary greatly in emphases, complexity, and purposes. In the programs we observed, some were simple and some complex. In one the critique was a brief group discussion moderated by the program coordinator at the course's end. In another, it was a five-question, close-ended, multiple choice survey. At the other extreme, the complex critiques were phased in several components spread over a course, involving oral and written feedback.

The emphasis found in a critique depends on whether it is being conducted mainly to assess logistics or instruction. Many deal with content, instructional methods, and projected usefulness in an extremely global manner. They produce information that is of little use in improving the program's delivery, but may well be useful in budget justifications. Many logistics-oriented critiques do not even try to capture data on how the course's content and instructional methods might be changed to increase usefulness. Because their purpose is to ensure general satisfaction with administrative matters and amenities, they emphasize housing arrangements, palatability of refreshments and meals, air temperature and seating design in classrooms, and so on. Some critiques, done for both administrative and instructional purposes, genuinely try to tap detailed and constructive trainee reactions to content, manner of presentation, and projected usefulness on the job.

2. Measuring In-Program Outcomes. There are only two commonly used methods for the measurement of in-program outcomes: a written examination to test changes in knowledge or skill and instructors' structured observations of changed trainee behavior. Slightly more than 50 percent conduct a written examination, most without a pretraining knowledge measure for comparison to show what a participant actually gained in training. Generally, programs with terminal performance objectives at least partially base their exams on them. This is called "criterion-referenced testing." Those without terminal performance objectives are somewhat more likely not to test at all. If they do give a written exam, it is most likely constructed of questions submitted by individual instructors for their own blocks of instruction.

Structured observation of behavioral changes is used by 40 percent of programs, based on the national survey. Strictly speaking, instructors observe changes in trainee behavior in structured group experiences or other simulation exercises. The 40 percent figure seems high, based on our field observations, and probably includes extremely informal judgments that are never recorded. Some programs that questioned the appropriateness of a formal knowledge measure scrutinized changes in interaction patterns and provided trainees with informal feedback. In one program, the instructor did no formal testing, but closely observed changes in structured group experiences, and gave trainee-graded pre- and posttests to sensitize trainees to new concepts and demonstrate to them what they had learned.

I. STEP NINE: PERFORMING FOLLOW-UP EVALUATIONS

The ninth step is to "evaluate the effects of training outcomes on the work setting in terms of trainee performance and/or organizational functioning." This step has 2 substeps:

- o Follow-up on trainees back on their jobs to see how they and their co-workers view the projected usefulness and actual utilization of training.
- o Use established success criteria to measure empirically the post-program utilization of training and its impact on trainee and/or departmental performance.

1. Measuring Follow-Up Perceptions Of Utilization. Most programs rely on informal and often unsolicited feedback from trainees or their superiors to provide illustrations of the practical applicability of their offerings. Based on the national survey, one third of all programs also conduct one or two types of follow-up evaluations: trainee self-assessment of training utilization and assessments of training utilization from superiors, peers, or subordinates. Many of these surveys are viewed more appropriately as "rebound evaluations" than as utilization surveys, however. This is because many do not focus on actual use of what trainees learned as much as they call for a restatement of the course critique; in effect they ask, "Now that you are back on the job, do you still feel as good about the course as you did before?" Also based on the national survey, twenty percent of programs have trainees or co-workers reassess training needs or management styles.

2. Measuring Transfer Of Training And Agency Impact Empirically. The foregoing sections should offer little reason to expect that programs have empirically measured transfer of training to the work setting or the impact of training on trainees' home agencies. It comes as no surprise, then, that most programs have performed no empirical evaluation of the effects of training on job behavior and the work setting. Aside from external factors that inhibit program evaluations, there are internal ones that make evaluation difficult and generally not worth its cost. These include: lack of information about the training needs of the target population, obscurity in in-program objectives, unclear expectations about how in-program outcomes transfer to the work setting, selection of trainees on the basis of criteria other than demonstrated need, lack of effort spent in clarifying for trainees what they are expected to learn in training and carry back to the job, and so forth.

J. STEP TEN: USING EVALUATION RESULTS

The tenth step is to "use evaluation results in subsequent program development and revision." This step has 6 substeps:

- o Share evaluation results with those who make inputs to the program's goals in order to focus their succeeding goal inputs.
- o Use evaluation results to refine the goal-setting, needs assessment, and objective-setting processes.

- o Use evaluation results to identify and modify particular goals and objectives that do not correspond with documented trainee needs.
- o Refine program components, including training staff and curriculum elements, based on what evaluations reveal about their effectiveness.
- o Use evaluation results to identify and eliminate factors external to the program that impede its systematic development.
- o Use evaluation results to justify educational efforts for reconciling discrepant views of purposes behind the training.

1. Sharing Evaluation Results With Contributors To Program Goals. It is not clear how extensively and in what forms programs share evaluation results, including course critiques, with those who originally contributed to the goal-setting process. For most programs, the original goal-setting process is rather closed. Later, if evaluation results are disseminated at all, they appear to be shared informally and selectively.

2. Using Evaluation Results To Refine The Objective-Setting Process. Programs do make changes in their goal-setting, needs assessment, and objective-setting processes on the basis of evaluations. Typically, results of reaction surveys show that training needs had been inadequately reflected in the program's original goals and objectives. This evidence suggests the need for procedures to obtain systematic and broader input from user groups. To do so, programs implement formal periodic needs surveys. One program even started using an executive training course as a sounding board for statewide executive input.

3. Using Evaluations To Modify Goals And Objectives. It seems that most program operators identify new objectives and modify inappropriate ones indirectly. When they shift topical focus, course objectives change along with them. Occasionally, successive shifts in topical focus have the cumulative effect of producing a unifying theme and, thus, of clarifying goals.

4. Using Evaluation Results To Refine Program Components. Program operators do use evaluations extensively to change their offerings; but often the nature of these changes reflects a "band-aid approach" to program development. Evaluations are used most extensively in five ways: to alter instructional techniques, expand or increase the use of particular instructional personnel, revise and update the course description, modify the order or sequencing of course modules, or eliminate unpopular courses and change topical emphases. To a moderate extent, evaluations are also used to alter logistics (housing arrangements, meals, class seating) and to change trainer hiring standards.

Many programs undergo nearly constant change. The program operators change the contents of existing modules, including exercises and materials. Based on popularity and demand, they add certain modules or expand their scope, while they drop or reduce the scope of others. Depending on how trainees rated instructor performance, the operators increase or decrease the use of particular personnel. Gradually, topical emphases shift. Staff composition also changes

gradually as unpopular instructors are weeded out and even de-certified. Administrative arrangements and logistics, meanwhile, might undergo almost constant revision.

Some program operators also use exams as an immediate check on the quality of instruction. They identify frequent errors on the exams that, they assume, reflect areas in which instruction was weak. If time permits, they go over the items missed by a large percentage of trainees in the immediate session. If not, they at least try to bolster related modules in subsequent presentations.

Evaluations rarely lead to major program revision. However, a follow-up reaction and utilization survey conducted for the New England Institute of Law Enforcement Management, located at Babson College, occasioned significant changes in staff composition. The survey was directed to several hundred graduates. Graduates thought that instructors without law enforcement background not only had better grasp of content and better instructional styles but also were more practical than those with law enforcement experience. In light of these findings, the program operators made major changes in staff composition, dropping most of the instructors with law enforcement experience. This case represents an exception to the rule, however. The lack of information about the effects of the training on the work setting has generally discouraged major shifts in approach to police management training.

5. Using Evaluation Results To Control External Influences. The national survey suggests that evaluations are used with moderate frequency to control external influences. We observed such uses in the field but they are generally difficult to document because they happen informally.

6. Using Evaluations To Justify Educational Efforts. Use of evaluations to "start educational efforts to reconcile discrepant views of training needs" is also poorly documented, and with good reason. When someone tries to increase compatibility among the expectations of several groups, he stands to gain little by underscoring differences. The differences initially come to light only informally because prevalent needs assessment and evaluation approaches do not reveal disparate perceptions of training need and utilization. The process of influencing views of training need and of creating a consensus is also generally informal. By way of exception, an executive seminar in a major municipal agency served as a forum for exploring and reconciling divergent views of MBO's appropriateness.

* * * *

So, how closely do police management training programs follow the industrial model of program development? Our first reaction is to agree with one POST director who claimed that "training is pulled off the wall everywhere." It seems that programs are really developed "by the seat of the pants." Program developers and operators set goals largely without substantial input from user groups. They do little or no formal needs assessment. They typically skip over the identification of performance deficiencies and often pass off topical interest surveys as needs assessments. They do not set consistently clear objectives. They generally do not identify criteria that indicate, in measurable terms, the areas in which change is desired and the intended extent of change. They usually

cannot pinpoint how they want in-program outcomes to affect job behavior. They rarely specify the learning principles that underlie instructional methods. They often fall back on an established curriculum long after its use has become counterproductive. They rarely provide a mechanism to help trainees and their superiors come to agreement about individual purposes for participation in training. They hire trainers more for anticipated rapport with trainees than for familiarity with subject matter. They tend to exert little control over the composition of a class. They make minimal efforts to coordinate trainer activities. They distribute rewards for training almost indiscriminately. They obtain too little advance information about trainees to use in targeting content or measuring outcomes. They conduct few evaluations other than course critiques. They use evaluation results to tinker with program components but rarely to make needed major revisions.

This question can be answered in another way, however, if we step back and take a broader view. The program development practices described above are not unreasoned. The process is deliberate, phased, and rather systematic. It corresponds inconsistently from point to point, however, with the prescribed steps of the industrial model. It is just as important to ask, "Why are there differences?" They stem partly from factors internal to programs, including assumptions about what is feasible in program development. They also stem from factors external to the program and outside its control, including funds, laws, and availability of trainees and instructional personnel. These external factors are the subject of Chapter Three.

Three: Factors Affecting Program Development

Realistically, how systematic can program development be? Are there factors external to programs and largely beyond the program developer's control that influence how closely development can reflect any chosen system? If we look at the simplest training arrangement--the departmental trainer who has sole responsibility for training design, delivery, and evaluation--we find that even here development is influenced by:

- o The trainer's familiarity with training standards and management principles, skills as a trainer, and willingness to abandon strong customs and precedents in police training
- o The trainer's personal views of what ought to take place in program development and in police management training
- o The financial, legal, departmental, and community constraints on the trainer's use of discretion
- o The supply of existing program resources
- o The perceived or actual shortage of techniques for use in needs assessment and evaluation, including performance measures and research designs
- o The availability of trainees who fit a course's target audience
- o The immediate needs and expectations of the trainees who show up for a course
- o The receptiveness of trainees to evaluation techniques centered on their performance

In the far more typical training situation, however, not one but several individuals or organizations take part in development. These can include a POST Council, an SPA, local colleges and universities, national or regional professional or training organizations, and management consulting firms. So to the list above we have to add:

- o Perceived or actual scarcity of capable personnel to play a role in needs assessment, curriculum design, delivery, and evaluation
- o Complex inter-organizational arrangements and communication flows

- o Competing views--on the part of a program's developers, other training personnel, and those in a position to influence resource allocation--about what ought to take place in program development and in police management training

Program development is clearly affected by conditions both internal and external to a program. But, when the typical program developer tries to explain departures from a particular developmental system, he focuses on external factors and looks on internal factors as side effects of the external ones. Developers and operators commonly view their programs as surrounded by "force fields" or "system influences" that force choices and limit options. In this chapter, we describe these external factors and show how they can facilitate or impede program development. We group them based on where they affect the process: overall program development; goal identification, needs assessment, and objective setting; design and implementation; and the conduct and use of evaluations. The information here can be used to assess the strength of the forces that affect police management training programs generally, to identify forces that affect a given program, and to gauge the feasibility of overcoming them.

A. FACTORS AFFECTING OVERALL PROGRAM DEVELOPMENT

Five general factors affect programs at each major phase of their development. These are: funding, legal requirements, the organizational environment, the community environment, and pre-existing program materials.

1. Funding. This defines the resource limitations that a program must operate within. It exerts obvious influence over program development activities, because it can include resources to pay staff and instructor salaries, rent and operate training facilities, provide food and transportation services, maintain rooming accommodations, provide training materials, and reimburse trainee salaries. We can analyze funding's effects in terms of funding levels, funding continuity, and the funding mechanism's efficiency.

a. Funding levels. The funding level refers both to amount of available funds and to any restrictions on their use. A program budget's sheer size has obvious implications for resources devoted to program development. Any shortfall will influence the program developer to downplay certain activities he regards as "non-essential." Low funding levels are also often used to justify offering only one level of management training rather than an integrated succession of courses. Restrictions on use of funds take two main forms: First, the funding agency restricts how allotted funds may be used. Typically, it earmarks funds for certain aspects of delivery, such as staff salaries, transportation costs, and reimbursement of trainee salaries, and precludes use of funds for other purposes. The national survey suggests that restrictions mainly hinder delivery and evaluation. Second, management training funds tend to be less accessible than funds for basic recruit training and other forms of advanced in-service training for two reasons. Mandated courses sometimes must be conducted or at least scheduled before residual funds are used for other purposes. Because state law rarely requires management training above the supervisory level, management training competes for funds at a disadvantage. Sometimes definitional problems affect the use of allocated in-service training funds for management

training. For example, one state that reimburses departments for in-service training expenditures refuses to define management training as in-service. Such limits on the accessibility of funds have little effect on the typical program but pose real problems for a small number.

b. Funding continuity. The consistency and certainty of anticipated support constitutes funding continuity. Generally it influences capability to use deliberation in program development and specifically it affects ability to project long-term training schedules and to weave common threads among offerings so that one course leads logically and systematically to the next. To increase funding continuity, many state programs have tried to dispense with the annual cycles of budget justification and outreach for participants by lobbying for passage of attendance requirements and replacing dependence on annual appropriations with a penalty assessment fund. Legal requirements are supposed to guarantee that a program will be on an equal financial footing with other mandated programs. Support from penalty assessments is supposed to place funding beyond the vagaries of the normal appropriations process.

Neither strategy has succeeded. Almost no POSTs have a mandated management training program above the supervisory level. Nor has the drive towards penalty assessment funds guaranteed program continuity. Management training programs, therefore, are susceptible to the normal vicissitudes of the appropriations process, are more vulnerable to cutbacks than mandated programs, and tend to take more staff time in budget justifications than mandated programs. Even where certain alleged guarantees minimize the risk of discontinuity, periodic reductions in public expenditures can still threaten support. Hiring freezes, for example, directly affect ability to retain appropriate trainers; they indirectly affect program attendance by reducing police agency staffs and creating consequent coverage problems. Funding caps even affect state training agencies drawing support from a penalty assessment fund by limiting the portion of the fund that can be spent. Based on the national survey, two factors have strong effects on funding continuity: reduction in state allocations to training and imposition of a cap on expenditures.

c. Efficiency of funding mechanisms. The amount of maneuvering required to obtain funds determines the funding mechanism's efficiency. Most program operators equate perfect efficiency with guaranteed total support from a single source. This guarantee is supposed to provide continuity while minimizing negotiation time. Programs we studied illustrate several modes of inefficiency. Municipal departments, for example, often lack a distinct training budget. The training officer has to develop a work plan and formally request operating funds for each proposed course. Dependence on multiple agencies for support is not rare either. One visited program draws support from several state legislatures and POSTs, each with its own perceptions of training goals and objectives and its own procedures for funding application. Because it contends yearly with six funding agencies, its staff likens the situation to dealing with "six mothers-in-law". Both situations can pose problems but also have advantages. Lack of a distinct budget, for example, can boost chances that training will be conducted on the basis of immediate demonstrated agency needs. Dependence on more than one funding source can increase chances that the program will endure in some form, although size may be harder to project.

2. Legal Requirements. These are the formal requirements that training activities must comply with to obtain and maintain certification and/or operating levels. They can influence the entire developmental process by prescribing how a step should be performed or by obviating the need for it altogether. However, the nature and extent of their influence depend upon whether they were developed following a closely reasoned and systematic model, are set forth by the oversight agency as the minimum basis for program development but not as the full scope of developmental activities, are regularly reviewed on a formal basis to assess their current applicability, and include a mechanism for their enforcement. This will be apparent in the following discussion of requirements for objectives, curricula, audience, trainer credentials, and participant incentives.

a. Objectives. States that certify management training specify objectives either directly, by spelling out terminal performance objectives, or indirectly, by summarizing course content module by module. POSTs vary greatly, however, in whether they explicitly set forth objectives as the minimum basis for ensuring that managers possess a core of uniform information or as an exhaustive statement of intended outcomes. There is similar variation in how offering institutions view the objectives: as the minimum basis for further development and elaboration to meet local needs or as an exhaustive statement of a course's full scope. The process for deriving requirements also varies from empirical statewide goal-setting and needs assessment procedures to consensual development by ostensible experts. When a POST issues requirements, it generally recognizes the need for periodic review, but the commitment tends to lapse except for mandated courses. Whether or not a mechanism for enforcement exists, expectations about enforcement still vary among offering institutions. From our observations, it appears that such requirements can enhance program stability, standardize offerings throughout a state, provide a minimum basis for further program development, and motivate trainers to update their content and instructional methods. They can also restrict program development to the breadth or narrowness of their originator's horizons and guarantee their own eventual obsolescence.

b. Curricula. Little need be said about curricula that we have not already said about objectives, because few programs clearly differentiate one from the other. We repeat that, if the oversight agency fails to review instructional methods and training materials periodically for continuing relevance, it risks mandating outdated methods and materials that are less than optimally effective.

c. Audience. Legal requirements often define the target population so resources can be focused on its capabilities and needs. Requirements tend to be explicit when selection follows the career progression model, described in Chapter Two. From state to state, however, there is variation in the selection criteria used, how they are prioritized, and how freely criteria are waived so classes can be kept full. The typical POST seems to set forth criteria as an exhaustive statement of eligibility requirements, and programs view them as such. It is not clear from our research, however, whether most POSTs regularly review and update criteria to ensure current applicability or whether they simply neglect to observe them when applicability becomes questionable.

d. Instructor credentials. A POST generally sets forth instructor credential requirements as minimums to which the offering institution may add its own. How regularly and thoroughly either reviews these requirements we cannot say from our research. Review appears no more regular or thorough than that of course objectives and curricula. One POST, for instance, decertified all instructors who had not taught a specified number of hours in the past year, giving little consideration to potential needs for their services or to how massive decertifications can choke off the infusion of new blood. Credential requirements can often be interpreted to fit into any training model. They can also reinforce a particular model indirectly, sometimes after the model has supposedly been abandoned or at least moderated. This is particularly obvious when trainers are required to have law enforcement background even though the curricula are derived from business.

e. Participant incentives. Many POSTs can offer incentives to trainees and their departments. Trainees might get certificates for course completion, management certification, and pay supplements. Departments might get reimbursement of tuition costs, per diem expenses, and even trainee salaries. These help convince officers to sign up for training and departments to release them. POSTs look to incentives as "the carrot" needed to lure the typical officer into training, but expect that offering institution will then foster intrinsic reasons for attendance. We cannot determine whether POSTs periodically review their incentive programs to see if the nature or amount of incentives should be changed. But it is clear that, although incentives promote attendance, their extensive use discourages intrinsic motivation. Sometimes the course itself becomes so devalued that the "carrot" is the only reason for attendance. Many institutions do little to make their courses appear useful or to encourage professional development, and end up reinforcing the practice of garnishing certificates without thought of utilization.

3. Organizational Environment. This encompasses the activities, priorities, personalities, and structure of the larger organizations within which a program develops and the program developer's relations with them. Its effects can be analyzed in terms of organizational command structure, organizational training priorities, continuity in senior staff support for a program, agreement between the program developer and user agencies in how training need are perceived, and host institution requirements.

a. Organizational command structure. The centralization of decision-making and the fluidity of communications determine how much discretion the program developer has. The autocratic command structure of the traditional police agency centralizes decision-making, restricts the fluidity of communications, and tends to use training as the intermediary between senior officials and the rank and file. It curtails the program developer's discretion to follow a systematic model by largely determining program goals and by specifying the program's topical emphases, instructional methods, training staff, target audience, and evaluation approaches. In contrast, the program developer in more participative organizations tends to retain discretion as long as he remains responsive to overall agency goals. The hallmark of a participative organization, in fact, is development of objectives through substantial input from line managers, working from the bottom up.

b. Organizational training priorities. The value that agencies attach to training in general and management training in particular can affect the entire process. Agencies show their training priorities by the resources they allocate to training and by how they use outside programs. Training priority can be seen, for example, in the capabilities of the individual assigned to direct training, other personnel and material resources allotted for training, the training officer's position in the organizational hierarchy, coordination of training activities with other organizational activities, selection of trainees for outside programs based on performance and for purposes of career development, and willingness to free personnel to attend training and provide coverage for them

POST directors and program operators generally think that most agencies put training near the bottom of their priorities list and consider it an "afterthought." Several POST directors noted that a training officer is often chosen not because he possesses special skills but because he can no longer handle street work. They also noted that most agencies assign training to a supervisor in Administrative Services rather than to a senior officer operating close to the chief. Although agencies tend to regard basic training as essential, they still consider most in-service training a poor investment. The low priority of training can affect not only program development but also receptiveness to new technologies and principles acquired through training.

c. Continuity in senior staff support. Repeated shifts in power or policy can jeopardize a program's existence and resource allotment. In this situation, the developer must continually "sell" the program to senior staff, and has little basis for long-term planning. Shifts can also deter impact evaluations, because they weaken controls needed to ensure that observed changes can be directly attributed to training.

d. Agreement in perceptions of training need. How closely the program developer and user agencies agree on training needs can affect development. If the developer recognizes that potential user agencies disagree with him in how to interpret needs, he tends to downplay rather than underscore these differences. Thus, he states goals using broad generalities and avoids needs assessment and evaluation procedures that are likely to reveal divergent perspectives. If potential user agencies find the program developer's concept of training needs unacceptable, they will not make trainees available.

e. Host institution requirements. Programs housed in academic organizations often must meet institutional requirements to maintain their activities on site or to secure a credit option. Host institutions most frequently affect either curriculum development or testing procedures, often in ways that are at odds with the program developer's plans. Less frequently do they influence entrance requirements and procedures.

4. Community Environment. This reflects the interests of the ultimate consumers of training--the general public and their elected representatives--and of the program developer's relations with them. We can analyze it in terms of the legal obligation that programs be job related, public demands that programs demonstrate cost-effectiveness, and union demands that their prerogatives be honored.

a. Legal obligation that programs be job related. Programs potentially face two major court challenges, both related to the job-relatedness of the training. EEO suits could charge a program with illegal discrimination in its selection procedures, testing, or contents. Vicarious liability suits could challenge a program as providing inadequate job preparation in minimum required duties and attempt to hold trainers responsible for the effects that inadequate training has upon the community.

Although these potential court threats have triggered certain adjustments in developmental practices, programs have not faced serious negative consequences as a direct result of either. Several programs were suspended during EEO litigation, but the suits leading to their suspension challenged the promotional process itself, not the training. Delivery of training was interrupted simply because promotions were halted. Similarly, whereas several public agencies outside of law enforcement have faced vicarious liability suits related to line personnel, police management training programs have not. It also seems unlikely that they will because the issue of vicarious liability typically arises when line personnel in direct contact with the general public have demonstrated gross inadequacies in performance. Vicarious liability suits do not apparently pose an immediate threat to management training programs.

In anticipation of court challenges, some programs have focused increasingly on job-relatedness. Efforts to develop "legally defensible" or "litigation-resistant" programs have increased the attention paid to needs assessment procedures. This has generated rising interest in task analysis, although mainly at the basic recruit levels. The threat has affected course content as well. Many programs stress the manager's responsibility to operate job-related in-service training activities for line personnel.

b. Public demands that programs demonstrate cost-effectiveness. A climate of fiscal austerity has accentuated emphasis on accountability and changed the type of programs that departments use. Many programs have begun to discuss strategies for improving accountability, including these three basic ones:

- o Implement pre- and posttests and supervisory ratings of utilization
- o Reduce the number of individuals trained and focus on those whose training needs and prospects for later implementation have been documented
- o Add an action plan as a final training exercise to increase trainees' motivation and to provide a framework for evaluation.

Although discussions of these have not yet produced dramatic changes, it seems likely that continued public scrutiny will further their adoption.

Interest in cost-effectiveness has triggered public support for development and use of more programs closer to home. The public tends to prefer these over out-of-state residential programs. They decrease the need for the trainees' absence from departments and families for long periods. "They pose fewer problems for family life" and, thus, "do not work such a hardship on the men." They reduce travel and per diem costs, especially where commuting is feasible. They

increase the homogeneity of audiences, at least geographically. In response, some major residential programs take their courses off campus. They would prefer to stay on campus, still value a residential concept, and espouse a different training model from many users. But they recognize that road shows are what the market demands and are concerned that user agencies might otherwise withdraw financial support for even the program's residential courses. The problem is, the purposes of a residential program are not easily adapted to road shows. Control over the training environment shifts almost entirely to the local host agency, which often provides inadequate conditions, such as small, crowded classrooms; armchair desks; no blackboards or projection equipment; and intermittent interruption by bells. As an alternative to road shows, some jurisdictions have tried to develop local options. Ironically, they have often imitated a residential program's curriculum or borrowed a needs assessment from another jurisdiction.

c. Union demands that their prerogatives be honored. A union's interest in protecting its constituency can affect program development in two main ways. First, unions can exert an influence on attendance. They might show that training day is in excess of eight hours and, hence, justifies overtime pay, a situation that often arises when the program requires the trainee to stay away from home. The prospect of paying overtime reduces the willingness of chiefs to free officers for training. Second, unions can also influence course content and topical emphases, sometimes by insisting that a course be given on a "hot topic" despite the absence of demonstrated need. Unions occasionally affect training development in other ways. For example, they promulgate conditions under which training may be offered; restructure selection procedures so that no union member may be discriminated against on the basis of ability; or interfere with follow-up evaluations by telling trainees that evaluation data could be used as a personal performance appraisal.

5. Pre-Existing Program Resources. These are readily available resources and materials from prior programs, which tend to be recycled with little regard for their appropriateness. They exert a pervasive influence over program development and seem to affect all programs to some degree. Instead of developing a new module or hiring an instructor to meet current needs, programs often just follow the old patterns. They fall back on readily available trainers, curricula, and facilities most extensively, but also on goal statements, needs assessments, performance objectives, success measures, and evaluation strategies. Properly used, each can be a valuable input; typically, each limits how systematic an aspect of program development can be by retarding reasoned use of resources. Their adoption without regard for immediate relevance can often be rationalized in terms of legal requirements and funding constraints, but also reflects what we call "developmental inertia."

B. FACTORS AFFECTING GOAL FORMATION, NEEDS ASSESSMENT, AND OBJECTIVE SETTING

Three of the five general factors that strongly influence these aspects are: funding restrictions, legal requirements, and the organizational environment. In this regard, the national survey asked about factors that "have reduced or even eliminated the need for a more formal process of goal formation, needs

assessment, and objective setting." The answers amplified our direct observations. Quite predictably, legal requirements and other mandates have reduced or eliminated the need for a more formal process in about 70 percent. Organizational training priorities similarly influenced one third. Command orientation deterred a more formal process in only 20 percent overall, but in 50 percent of municipal programs. The most interesting answers showed the importance of the program developer's own attitudes. More than 70 percent said that program staff and user groups share such a close relationship and understanding on an informal basis that something more formal is unnecessary. About 50 percent said that the program staff believes that certain needs must be addressed, regardless of whether user groups happen to be conscious of them, so a more formal process would waste effort and could be counterproductive.

With the five general factors now in perspective, we can discuss two additional ones: technical resource availability and target population characteristics.

1. Technical Resource Availability. This encompasses personnel, techniques, and other resources needed for the early developmental steps. We can consider availability of relevant concepts and measures, research techniques and designs, adjunct data sources, skilled personnel, and lead time.

a. Availability of relevant concepts and measures. Program managers and operators generally think that concepts and measures for analyzing and measuring performance of police officers and of public sector managers are inadequate. This makes it difficult to identify performance deficits and to set objectives to correct them rationally. In addition, the scarcity of empirical data on the police manager's role and function makes it difficult to determine what types of management training are germane to particular audiences of police managers.

b. Availability of research techniques and designs. Advanced research techniques and designs have not been widely disseminated within criminal justice training programs. The program developer is thus confined to customary ways of formulating goals, assessing needs, and setting objectives.

c. Availability of adjunct data sources. Certain adjunct data sources can be useful at these early junctures. Centralized information about the target population's training history, task analyses and management audits from jurisdictions within the target audience, and old needs assessments done on the population, can all help focus the process. They are not uniformly available, however, and program developers often lack access even to centralized training histories.

d. Availability of skilled personnel. Because training staff are typically selected mainly for administrative and program delivery skills, they often lack technical knowledge needed at this stage. Program managers and operators attribute the shortage of skilled in-house personnel and inability to hire outside consultants to overall funding and salary constraints.

e. Availability of lead time. For these early steps to be systematic, they must be incorporated into an organization's planning process with reasonable lead time. Because programs are often scheduled on short notice, these steps tend to be collapsed or eliminated.

2. Target Population Characteristics. These refer to the size, stability, and homogeneity of the target audience and to their influence on the feasibility and usefulness of these early steps.

a. Size of target population. The more officers in the target population and the wider the area over which they are spread, the harder it becomes to obtain representative broad inputs from them or to perform a rigorous needs assessment. Programs with a national audience are most vulnerable to this limitation.

b. Stability of target population. When the target population is undergoing rapid and unpredictable changes, the odds are that any information collected from them will soon become invalid. In this circumstance, a major allocation of program resources to data collection is like mobilizing an army to capture a ghost.

c. Homogeneity of target population. Differences from one jurisdiction to another in such factors as size, population density, and geographical characteristics shape different management roles and create different training needs. When several cooperating jurisdictions have widely discrepant training needs but lack resources to operate separate programs for different needs, it is difficult both to maintain legitimate differences and to conduct programs targeted toward needs. One state program noted, "The eastern and western slopes of the state are very different, the one rural and the other urban. We cannot develop a program to satisfy both groups." Many argue that target population homogeneity affects the whole developmental process.

C. FACTORS AFFECTING PROGRAM DESIGN AND IMPLEMENTATION

Of the five general factors that affect program development, program operators most frequently cited legal requirements, but the ready stability of program resources and materials really seemed to be the strongest influence. Over and above the general factors are two additional ones: instructor availability and trainee availability.

1. Instructor Availability. This refers to a program's ability to identify and retain instructional staff suitable for achieving goals and objectives. We can analyze instructor availability in terms of the supply of qualified instructors, lead time allowed to obtain instructors, and political and institutional pressures on instructor selection.

a. Supply of qualified instructors. The number of qualified instructors and the program's ability to identify them are the two components of supply. Number affects mainly programs outside urban areas, which have to weigh immediate supply against the option of bringing in outsiders in terms of effectiveness and cost. Identification of appropriate staff is typically the bigger issue. This

can be difficult because the knowledge and skills needed to provide competent instruction depend on the exact model or models by which a program operates, and that is often ambiguous.

b. Lead time allowed to obtain instructors. Advance planning is necessary if a program wishes to avoid competing with other commitments that the desired instructional staff may have made. Lead time often depends on factors outside the program's control, including the promotion calendar and funding cycle. Conducting programs contingent on promotions typically means that lead time is extremely short, often no more than a few weeks.

c. Political and institutional pressures on instructor selection. Pressures result in the selection of at least three groups of instructors based on factors unrelated to their qualifications. Friends and acquaintances of those controlling resource allocation are selected to ensure funding flow. Local chiefs are selected to ensure a continuing flow of trainees from their departments. Instructors from the host institution are selected to maintain institutional acceptance of the program. Although instructors hired this way are often more than competent, pressures can also close off the program's access to the larger supply of qualified personnel.

2. Trainee Availability. This refers to a program's ability to attract trainees with the characteristics and training needs for which the program was designed. Based on the national survey, two factors strongly determine trainee availability: coverage requirements in user agencies and the relative priority they place on training. Two factors have moderate influence: saturation of the local training audience and the availability of tuition funds. We discuss these and seven other factors below. Although we cited a few of them earlier, we repeat them here to show their cumulative effect.

a. Police agency coverage requirements. Attendance at training can pose coverage problems in large and small departments alike, especially when fiscal conditions have already reduced staff size. These can inhibit supervisors' willingness to permit staff to attend training, especially out of state where trainees can less easily be called back. Coverage requirements can also affect whether trainees who attend local programs can take full advantage of them. Some departments, for example, require a manager to serve an eight-hour shift after completing a day-long training session. Others require trainees to remain "on call" during training sessions. In both cases, trainees' motivation and performance may be adversely affected; and in the latter case, the program's continuity may be disrupted for other trainees.

b. Tuition fund availability. Tuition funds are needed mainly to attend out-of-state programs. Availability depends on general departmental funding levels, coverage problems, training priorities, and LEAA's involvement in education and training.

c. Union demands for additional compensation. Union compensation policies sometimes require payment of overtime for part of the time spent in training. These apply mainly when training occurs out of state, on the premise that the training day is longer than eight hours. Such policies can almost eliminate training as an option.

d. Pressures to make greater use of local programs. The pressures to take residential programs "off campus" and to initiate local programs draw trainees away from the established residential programs. Such programs are then forced to reduce the number of courses offered or to change the target population.

e. Adequacy of incentive funds. Pay supplements can provide a powerful impetus for trainees to attend programs, but a trainee who has obtained the maximum pay incentive in perpetuity has little extrinsic motivation for attendance.

f. Divergent perceptions of training need. A user agency that sees its training needs as divergent from those addressed by a given program typically sends its managers to other programs.

g. Priority placed on training by user agencies. Training priorities can affect the frequency and extent to which a department will free personnel for training, provide coverage and tuition support, and make selection decisions on the basis of performance. They can also affect how training is coordinated with other departmental activities. In one interesting case, a police agency scheduled on short notice a promotional exam that conflicted with a training session scheduled a year earlier. Because most personnel scheduled for the exam were likewise scheduled for training, they had to choose between the two activities. Most opted for the promotional exam, and sent lower ranking (and inappropriate) personnel to training in their stead.

h. Court challenges to departmental promotions. Programs tied to promotions can be affected by court challenges to the promotional process. Several major jurisdictions, as noted earlier, had to halt program delivery when EEO suits led to suspension of promotions.

i. Saturation of the training audience. Several training programs often operate in the same area and compete for the same trainees in a depleting and sometimes nearly exhausted market. Saturation leaves programs with two options: cut back offerings or accept trainees who do not possess characteristics of the intended audience.

j. Misrepresentation of trainee characteristics by the host agency. To obtain the services of field programs offered by major national providers, host agencies sometimes deliberately misrepresent the characteristics of the population to be trained. Because field programs exercise little or no direct control over trainee selection, they have few means to ensure attendance by the population for which the program was designed.

k. System pressures to maximize enrollments. "Playing a numbers game" to increase budgets and enhance program status often leads to disregard for selection standards. Without better ways to measure effectiveness, oversight agencies tend to gauge a program's success by its popularity, and view expanded popularity as a justification for budget increases. Many programs similarly assume that, the larger the audience they can attract, the better their bargaining position will be when re-funding comes into question. Consequently,

they often attempt to maximize the numbers of trainees enrolled with little regard for selection criteria.

D. FACTORS AFFECTING THE CONDUCT AND USE OF EVALUATIONS

Of five general factors, programs most often cite funding constraints as limiting evaluation capability. The organizational environment also has a strong effect by reducing an evaluation's probable usefulness. In addition to the general factors, these three also affected the conduct and use of evaluations: requirements for evaluation as a condition of funding, availability of technical resources, and resistance to evaluation.

1. Requirements For Evaluation As A Condition Of Funding. Funding agency is sometimes impose an evaluation component upon a grantee as a condition of continued funding. Aside from requirements to conduct examinations and survey the reactions of trainees at the conclusion of training, few programs have been subject to funding requirements of this nature. All the major management training programs currently or previously funded by LEAA have been obliged to meet some type of follow-up evaluation requirement. Required evaluations varied in rigor and typically consisted of follow-up utilization surveys. Although funding requirements have led to more evaluation efforts, they have not shifted the focus of evaluations to performance measurement.

2. Availability Of Technical Resources. This factor encompasses personnel, techniques, and other resources needed to conduct evaluations. It can be analyzed in terms of relevant concepts and measures, research techniques and designs, skilled personnel, and controls over departmental policy.

a. Availability of relevant concepts and measures. Program managers and operators often think that concepts for analyzing and measures for assessing performance of police officers and public sector managers are inadequate. This limits options in analyzing and measuring police management performance.

b. Availability of research techniques and designs. Programs are generally unfamiliar with advanced research techniques and designs developed by business and federal agencies for evaluating management training programs.

c. Availability of skilled personnel. Staff do not generally possess sophisticated evaluation skills and spend most of their time in program delivery and administration. Several programs echoed the exaggerated view of one POST director that, "To evaluate a program adequately, the evaluation staff would have to be larger than the training staff. As it is, we are stretched thin."

d. Availability of controls over departmental policy. Rarely does a police agency see training as integral to a coordinated strategy for upgrading departmental performance. Thus, the program operator has little or no control over changes in departmental policy that can affect variables relevant to an evaluation.

3. Resistance to Evaluation. This refers to perceptions by any or all parties involved in training that potentially hamper cooperation with evaluation efforts. These views may be valid or invalid in a particular circumstance, but,

either way, they tend to obstruct evaluation. Based on the national survey, programs do not conduct more and better evaluations due mainly to two perceptions. The first is that evaluation costs are out of line with their potential uses. Evaluations can be long, drawn-out affairs and can draw heavily on scarce resources. Yet their results are not likely to have much effect on program operations. The second is that there is little or no agreement over what variables ought to be measured. Disagreement over relevant measures of success among program directors and instructional staff, trainees, oversight and funding agency staff, and evaluators, often result in a stalemate. There are several other widely shared perceptions that produce resistance to evaluation, often appropriately, including the following:

- o The program's expectations about what it intends to accomplish are not defined clearly enough to do an evaluation.
- o The program's expectations are implausible because resources are inadequate or ineffectively used.
- o The state of the evaluation art does not permit reliable measurement. Sometimes evaluations backfire.
- o Evaluations are political weapons used to "pull the plug" on funding.
- o Evaluations are not likely to be useful. This is because they are designed to meet the evaluator's personal interests or because certain factors inherent to training--command structure, training priorities, legal mandates, and the program operator's sense of mission--make it unlikely that persons in authority would be willing to change the program.

* * * * *

In this chapter, we have looked at factors external to programs that affect their development. The chapter shows how the program developer's options can be ringed by a multitude of forces beyond his control. Most POST directors and program operators were pessimistic about the near-term feasibility of breaking the vicious circles that impede more systematic program development. Are we to conclude that systematic program development is now beyond the realm of feasibility for most programs? We largely concur with the majority of program managers and operators that a high level of correspondence with the industrial model is infeasible now and is unlikely to become more feasible in the near future.

But we also stress that most programs can make isolated changes for the interim that will make their programs more manageable. We discourage isolated changes made just to come closer to the industrial model. Each potential change should be carefully scrutinized. Regardless of how systematically the program's parts were assembled, the first step should be to take an inventory of the resources the program now has, the activities in which trainees take part, and the expectations that the program holds for trainees. Once the basic inventory is complete, then it is possible to assess the conditions that hinder effective program management and to identify ways to modify and influence the program usefully. This is the approach that we take in Part 2.

PART 2: EVALUATION AND MANAGEMENT OPTIONS

In Part One's discussion of the industrial program development model, we found ourselves caught between the model's advocates and critics. We concluded that an altogether different focus would be more productive for most programs and recommended other ways to think about program management and evaluation. Part Two explores these by asking three broad questions:

1. Do police management training programs follow a single model or several different ones?
2. What types of obstacles impede both useful program evaluation and effective program management, and what can be done to overcome them?
3. How can evaluation show whether training makes any difference in later job behavior?

Chapter Four explores the first question by sorting out the elements that go by the name "police management training" into 14 distinct models, based on the programs visited. The models can differ in several respects: the inputs or resources needed to make the model run (the types of trainees, instructors, and materials that feed into overall goals); activities in which trainees take part; the immediate outcomes (the hoped-for or desired changes in the trainee that are sought within a course); or the expected effect(s) of training on trainee job behavior, the trainee's agency, and even the larger criminal justice system.

Chapter Five looks at the second question by listing questions that all program managers and operators should ask periodically to see how their program could operate more effectively, identifying roadblocks to optimal program management and evaluation, and then specifying one or more ways to eliminate or minimize each roadblock. All this is summarized in a self-assessment guide, or Evaluability Checklist.

Four: Program Models

Do police management training programs follow a single model or several different ones? Some program managers and operators erroneously think there is only one model that programs can follow. In fact, based on examination of operating programs, however, nothing could be further from the truth. Police management training programs take many forms, varying in the functions they seek to serve and in the means used to achieve chosen ends. They deliberately use widely differing types of resources, do different things with trainees, try to produce different types of changes in trainees during a course, expect and want trainees to try different types of things back on the job, and hope to impact on police agencies and the larger criminal justice system in different ways. There is clearly no single model of police management training.

This chapter's purpose is to capulize the assumptions and logic behind the 14 models we found in the field. All 14 represent actual variants of training. They are based on detailed descriptions we made earlier for each program we directly observed. To construct those earlier models, we had to tease out and piece together bits of information gained in observation, interviews, and review of program documentation and files. But no program fully expressed any one model and all mixed several models together. They did not express the model or models they followed with the same consistency, detail, or form as do the 14. So to construct these 14, we had to abstract the key issues that the observed programs shared. The 14, in other words, represent one level of abstraction above the individual program models.

We classify the 14 models into two types: basic and auxiliary. Eight of them are basic models, tied to a body of substantive information and expressing the process for transfer of knowledge along with related skills and attitudes. The basic models are further broken down into three subtypes: compliance models, which show how training can be used to produce familiarity with and adherence to department policy; prescriptive models, which communicate a body of knowledge drawn from the business world, other police agencies, and legislative bodies; and participative models, which seek to develop improved decisionmaking skills, teamwork, and communication among managers. The other six are auxiliary models. They express no substantive information, must be tied to basic models to find substance, and focus on broader department- or system-level impacts and how to achieve them. These six show how training can be used to boost trainee and agency morale, to certify experienced and trained managers and weed out incompetent ones, to perpetuate the training experience beyond the classroom through an interactive network of course graduates, to recognize and anoint managers already tagged for promotion to the senior ranks, to facilitate two-way communications between senior department staff and line managers about a pending decision, or to build up the critical mass of managers similarly attuned to organizational change. After considering the eight basic and six auxiliary models, we close this chapter with a discussion of model mixing and its effects.

The models can be useful both in program management and evaluation. They can be used to identify the models that a given program follows; to identify the activities that a program ought to conduct in pursuing its own objectives; to clarify how a course's substantive influence is meant to impact upon the trainee's work environment; to identify ways that a program may need to clarify its expectations, to be more internally consistent; and to identify variables appropriate for evaluation. In this way, the models can help to sort out the complex management issues that arise in coordinating staff, in stating objectives clearly around central themes, and in mobilizing available resources toward program goals. They can also help to isolate the outcomes and impacts that a program seeks to foster and that would, consequently, be the best measures of the program's success.

Exhibit 4 is an orientation chart designed to provide a quick overview of the models. It also references exhibits of detailed flowcharts of 7 of the models. Detailed flowcharts and a much fuller discussion of all 14 models may be found in this study's Technical Report.

A. COMPLIANCE MODELS

The compliance models presume that accomplishment of departmental objectives and coordination of departmental activities require executive control over management and line personnel. They see standard implementation of policies and procedures as indispensable to control maintenance. This is especially due to the ever-tightening legal and procedural limitations that police managers must operate within. So the compliance models look upon training as a mechanism for establishing and maintaining control and "good communications" among a department's managers. There are three different compliance models: preservice and initiative, refresher and update, and corrective models. The three are quite similar and differ mainly in how they associate stages of career development with specific problems in control maintenance.

Compliance models are occasionally combined with one another but are seldom mixed with prescriptive models. This is because compliance models emphasize restrictions on managerial discretion whereas prescriptive models call for the fuller recognition of managerial options and the exercise of managerial discretion. Due to its control orientation, a compliance program is usually conducted in by an agency in-house for its own managers. Such a program typically relies on departmental training staffs and senior officials as instructors and uses departmental facilities.

1. Pre-Service and Initiatory Model. This model assumes that a manager's duties can vary from rank to rank, and that progression in rank and responsibility calls for increasing contacts with other departmental divisions and with other community agencies. So the preservice model maintains departmental control by orienting newly promoted managers to their new duties, the contexts in which they must be performed, and recommended approaches for their conduct. The orientation makes trainees more familiar with departmental policies, their rank-specific duties, the manager's role in training subordinates, and departmental philosophy. This helps trainees to gain confidence and a fresh start in their new positions and to avoid forming bad work habits. The model can also improve

EXHIBIT 4
NEP/Police Management Training
ORIENTATION CHART TO 14 MODELS

Model	Exhibit Number	Training Activities	Workplace Results
COMPLIANCE MODELS			
Pre-Service and Initiatory	5	Orients newly promoted managers to their new duties and responsibilities.	Trainees perform their duties in compliance with regulations and their units are cohesive.
Refresher and Update		Reviews minimum required managerial duties and updates on changes.	Trainees continue to comply with regulations and their units maintain cohesion.
Corrective		Reasserts departmental control to correct specified deficiencies.	Trainees renew their compliance with regulations and their units become more cohesive.
PRESCRIPTIVE MODELS			
Systematized Policing	6	Challenges trial-and-error decision-making and applies principles derived from business to law enforcement.	Trainees accept and use business principles.
State-of-the-Art		Circulates information about innovative practices that police managers have proved effective.	Trainees are less likely to "reinvent the wheel" and more inclined to experiment with tested police innovations.
Adaptation		Outlines adjustments needed to comply with changed Federal, state, and local regulations.	Trainees identify practices requiring adaptation and implement new practices that comply with regulations.
PARTICIPATIVE MODELS			
Non-Experiential Participative	7	Explains how to meet the needs of agency personnel for self-actualization and a decision-making role.	Trainees apply participative principles in limited areas.
Experiential Participative		Combines explanations of participative concepts with structured experiences in how participative management systems operate.	Trainees assimilate participative experiences, gradually change their attitudes, and apply participative principles.
AUXILIARY MODELS			
"Greasing the Skids"	3	Provides amenities inside and outside the classroom to ensure that trainees go home rested, uplifted, and satisfied.	Trainees obtain boosts in morale and performance and encourage other officers to display exemplary behavior.
Certification	9	Enforces minimum knowledge standards and provides incentives for course completion.	Substandard managers are weeded out, successful trainees show more interest in career development, more qualified individuals are attracted to law enforcement, and turnover is reduced.
Network	10	Structures intense and extended interaction among trainees during classroom and off-time hours in a residential setting.	Lasting personal acquaintances among trainees perpetuate course effects through assistance to "alumni" in problem-solving and career development and through general reinforcement of course contents.
Apoining	11	Recognizes officers tagged for big promotions by sponsoring attendance at nationally recognized training programs.	New trainee credentials and acquaintances enhance stature and career progression; status of "alumni" reinforces the program's reputation.
Departmental Decision-Making		Uses training as a two-way communications vehicle, providing line managers with information about a pending decision and with an opportunity to shape the decision through critical feedback.	Agency makes an informed decision about whether and how to proceed; personnel are less resistant to change and implementation of the decision is smoother.
Critical Mass		Promotes large-scale organizational change and tries to create the preconditions for it.	Change-oriented graduates advertise the program, assist other graduates, and lay the foundation for large-scale change. Eventually, there are enough similarly attuned managers to carry out change and enough senior officials to initiate and oversee it.

unit cohesion, persuade managers to assume greater responsibility in training subordinates, and increase the trainees' range of contacts. Exhibit 5 shows how this model works.

2. **Refresher and Update Model.** This model recognizes that experienced managers can inadvertently stray from the proper performance of their duties and that the scope of those duties can change considerably over time. By periodically reviewing departmental policy and the manager's duties and by updating managers on any related changes, it keeps its managers informed of the expectations placed on them. Continued compliance with policies and procedures and greater unit cohesion then ensures departmental control.

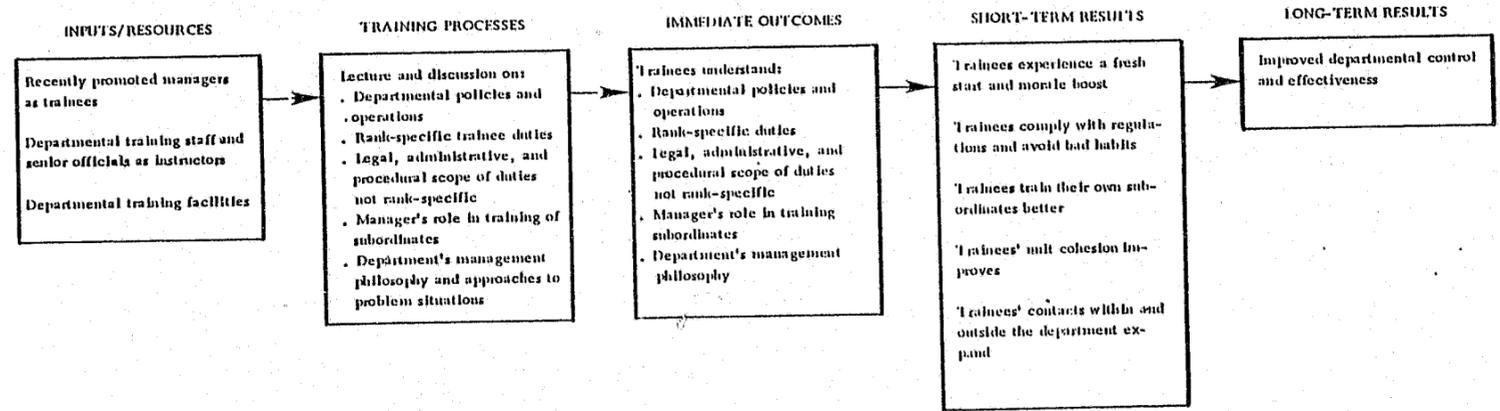
3. **Corrective Model.** This model recognizes that a manager's performance can slip below an acceptable level because of bad work habits or because certain information provided earlier was inadequate or misunderstood. It tries to correct performance deficiencies common to a group of experienced managers by describing their deficiencies, analyzing related performance standards, assessing reasons for slippage, and then presenting information and approaches needed to correct them. The manager then knows the reasons for his inadequate performance, understands how to remedy deficiencies, and has the motivation to follow through. Renewed compliance and greater unit cohesion result, and executive control over the department is thus maintained.

B. PRESCRIPTIVE MODELS

The prescriptive models assume that police managers have been less than optimally effective because they have operated by trial and error, tending to run an idea up the flagpole to see if it works simply because they lack adequate information. To fill this void, the prescriptive models communicate a body of accumulated knowledge that has broad implications for police management practice and that draws on the experiences of the business community, the experiences of other police managers, and the rulings of regulatory agencies. This section contains three prescriptive models: systematized policing, state-of-the-art, and adaptation models. The three are often intermixed, are occasionally combined with the participative models, and can be linked to any auxiliary model.

1. **Systematized Policing Model.** This model assumes that industry and the military use a time-tested and proven body of management theory and practice applicable to private- and public-sector agencies alike. But because police managers have generally fishladdered their way through the ranks without management instruction, they tend to feel threatened by its unfamiliarity. So the systematized policing model tries to stimulate rational managerial decisionmaking as an alternative to the trial-and-error approach traditional in police management. It treats police agencies like business and industrial organizations, capable of management by similar methods. The instructional process minimally involves comparison of business management theory and practice with traditional police practice and analysis of the relative advantages/disadvantages of the two, of their compatibility, and of the preconditions and precedents for applying business principles to law enforcement. As a result, the trainee appreciates the applicability of business principles to law enforcement, resists them less,

EXHIBIT 5
 NRP/Police Management Training
 PRESERVICE AND INITIATORY MODEL



and is motivated both to learn more about business management and to try out certain practices. This tends to make trainee job performance more systematic, leads to limited implementation of specific practices in the trainee's own unit, and attracts the trainee to future career development opportunities in management. The model often gets mixed with the state-of-the-art and adaptation models because many people reject the alleged similarity of businesses and police agencies.

2. State-of-the-Art Model. This model assumes that the differences between public- and private-sector organizations--in environment, goals, objectives, and operations--limit applicability of business principles and practices. Proponents of the model believe that police management is a unique profession that cannot be effectually organized on principles borrowed from the business community; police managers face problems specific to police agencies and, thus, benefit most from knowing what actions other police managers have found most effective. They have operated by trial and error because of their insularity from each other, not from ignorance of business principles. Lack of information-sharing has hindered agency effectiveness and caused frequent efforts to "reinvent the wheel." The state-of-the-art instructional process involves, at a minimum, description of innovative practices of other agencies, analysis of their advantages compared to current practice and of preconditions and precedents for their use, and discussion of ways to get additional information. The process often features research on police management. Recognized and innovative police managers sometimes make class presentations. As a result, the trainees know about innovative practices, understand the experiences of other police managers in attempting them, recognize the value of innovation, and are interested both in obtaining further information and in trying out certain practices. Back on the job, trainees tend to compare departmental practices against the innovations, try to get more information, and experiment with certain innovations in their own units. This helps mount support for department-wide innovation. Exhibit 6 shows how this model works.

3. Adaptation Model. This model presumes that management practices sometimes must change just to comply with regulations, even where traditional practices seemed effective. Such change can require overhaul of entire divisions or even comprehensive revision of personnel structure, including recruit selection, promotions, and training. To operate effectively, police managers must know about the constraints that changing laws impose and about the best alternatives for responding to them. The adaptation model outlines the management adjustments necessary to comply with changing legal constraints. Its instructional process involves description of the legal changes, identification of practices that the new laws make unacceptable, description of needed adaptations in practice, and consideration of adaptation problems experienced by others. As a result, the trainee understands the new laws, the practice that have to change, and how they can be changed. Back on the job, the trainee recognizes situations requiring adaptation and implements some of the recommended adaptation practices.

C. PARTICIPATIVE MODELS

The participative models assume that traditional and scientific police management systems have failed for the same reasons: they have overlooked the needs

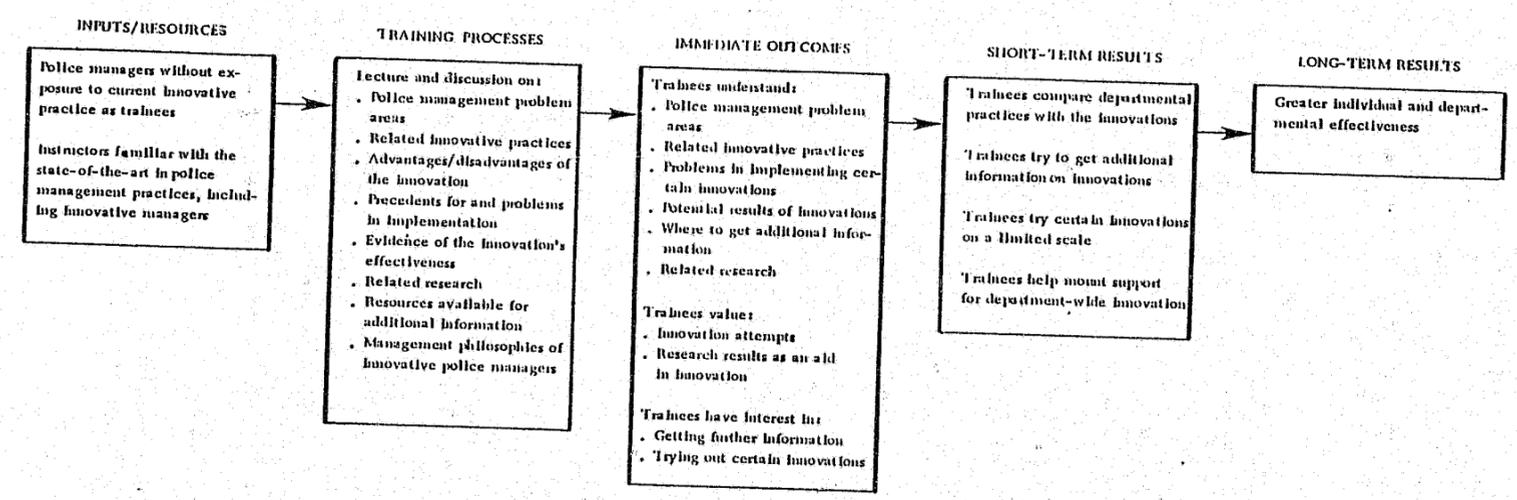
of police personnel for self-actualization and for a role in decision-making. Due to this oversight, police personnel have not been consistently well motivated or committed to organizational goals. Participative management, in contrast, helps generate commitment and motivation and improves departmental teamwork and communication flows. Operationalized as MBO, it helps measure productivity by requiring managers to structure their activities in terms of clearly defined and measurable objectives. Because their principles challenge the authoritarian assumptions behind traditional police management systems, the participative models stress the importance of reexamining managerial attitudes.

This section contains two participative models: non-experiential and experiential. Technically, they are both descendants of the systematized policing model; we consider them separately from that model because of their special emphasis on changed managerial attitudes and the need to change entire organizations. The non-experiential model is really an intrinsic part of the experiential model and they differ in only one respect: use of experiential exercises to help internalize participative concepts. The participative models are occasionally mixed with the prescriptive models and can be linked to any auxiliary model.

1. Non-experiential Participative Model. This model presumes that traditional instructional methods--lectures, discussions, and case study exercises--are sufficient to communicate participative concepts. The instructional process involves presentation of management theory and its operationalization as MBO; comparison of MBO with current practice and analysis of their relative advantages; and description of the problems and precedents for implementing MBO. In addition, trainees can take self-assessment tests to determine their individual attitudes, take part in case study exercises that elicit their management philosophies and shape them toward participative principles, and complete written exercises in setting objectives for personal problem areas. They leave training familiar with participative theory and MBO. If the course allows for it, they also know more about their own managerial attitudes and are better able to analyze hypothetical situations in terms of a participative management system and to develop clear and measurable objectives. Back on their jobs, they continue to examine their own attitudes and departmental practices in terms of participative principles. Within their own units, they tend to use MBO language and try out certain participative practices.

2. Experiential Participative Model. This model shares the basic assumption behind the non-experiential model, wants to see the same general results, but differs from it in the one respect noted above: use of experiential exercises. The experiential model stresses the importance of structured learning experiences that demonstrate the value of participative behavior. These experiences help trainees see themselves and their roles in terms of participative concepts. So the experiential model combines traditional instructional techniques with active individual exercises, structured competitive group experiences, and simulation exercises. It uses these techniques to help trainees assimilate and internalize concepts and experiences with participative management. If trainees are properly debriefed about the principles illustrated by an exercise, they can associate correct general concepts with experiences. When

EXHIBIT 6
 NEP/Police Management Training
 STATE-OF-THE-ART MODEL



of police personnel for self-actualization and for a role in decision-making. Due to this oversight, police personnel have not been consistently well motivated or committed to organizational goals. Participative management, in contrast, helps generate commitment and motivation and improves departmental teamwork and communication flows. Operationalized as MBO, it helps measure productivity by requiring managers to structure their activities in terms of clearly defined and measurable objectives. Because their principles challenge the authoritarian assumptions behind traditional police management systems, the participative models stress the importance of reexamining managerial attitudes.

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they return to their jobs, the process of assimilating and internalizing participative concepts goes on while they continue to examine both their own attitudes and departmental practices and do everything else that the non-experiential model expects of them. Exhibit 7 shows how the experiential participative model works.

D. AUXILIARY MODELS

The auxiliary models focus on the effects of training on the work place or on the larger system environment. Their processes occur in parallel to the basic models or even after the completion of training. The only assumption they share is that, to have any major effects, training must do more than teach managers a body of substantive knowledge. Beyond that, they diverge on what the something else has to be. This section discusses six auxiliary models: "greasing the skids," certification, network, anointing, departmental decisionmaking, and critical mass models. These models can be linked to any prescriptive or participative model or combination of models. They can also be paired with each other, but some combinations tend to be incompatible.

1. "Greasing the Skids" Model. This auxiliary model presumes that police executives need a device--short of promotions and pay increases--to reward past performances, boost morale, set a standard of exemplary performance, and solidify support from key departmental managers. It also recognizes that most training programs offer substantial amenities to trainees, inside and outside the classroom, to help trainees tolerate the undesirable aspects of the training situation, keep them relaxed and receptive to learning, foster acceptance of course contents, maximize trainee satisfaction with the course, and encourage repeat business. These amenities vary widely, but can include athletic and recreational facilities, class dinners and cocktail parties, attractive accommodations, proximity to major resorts and the "action" in major metropolitan areas, donuts and coffee during class breaks, and the opportunity to rub elbows with managers from other departments.

The "greasing the skids" model capitalizes on these amenities and the informal interaction among officers from multiple departments so trainees will leave the course aware that they were sent as a reward and motivator, satisfied with the program, and ready to support executive decisionmaking. Regardless of instructional contents, trainees then return to their jobs rested and uplifted, with boosted morale, and for a short time their performance improves and they try to stimulate similar performance in others. They support more fully executive decisionmaking. In some cases, the morale boost can spread to others who have contact with the lucky manager sent to training and who imitate the manager's "exemplary" behavior. Trainees also execute executive decisions more forcefully. Exhibit 8 shows how the "greasing the skids" auxiliary model works.

2. Certification Model. This auxiliary model assumes that large-scale upgrading of police management capability has been hindered by many conditions, such as the lack of an agreed-upon body of essential functional information, the absence of enforced minimum knowledge standards, the presence of "dead-wood" in the ranks, police management's resultant poor public reputation, and the related rapid turnover among newer managers. It further presumes that something else

EXHIBIT 7
 NEP/Police Management Training
 EXPERIENTIAL PARTICIPATIVE MODEL

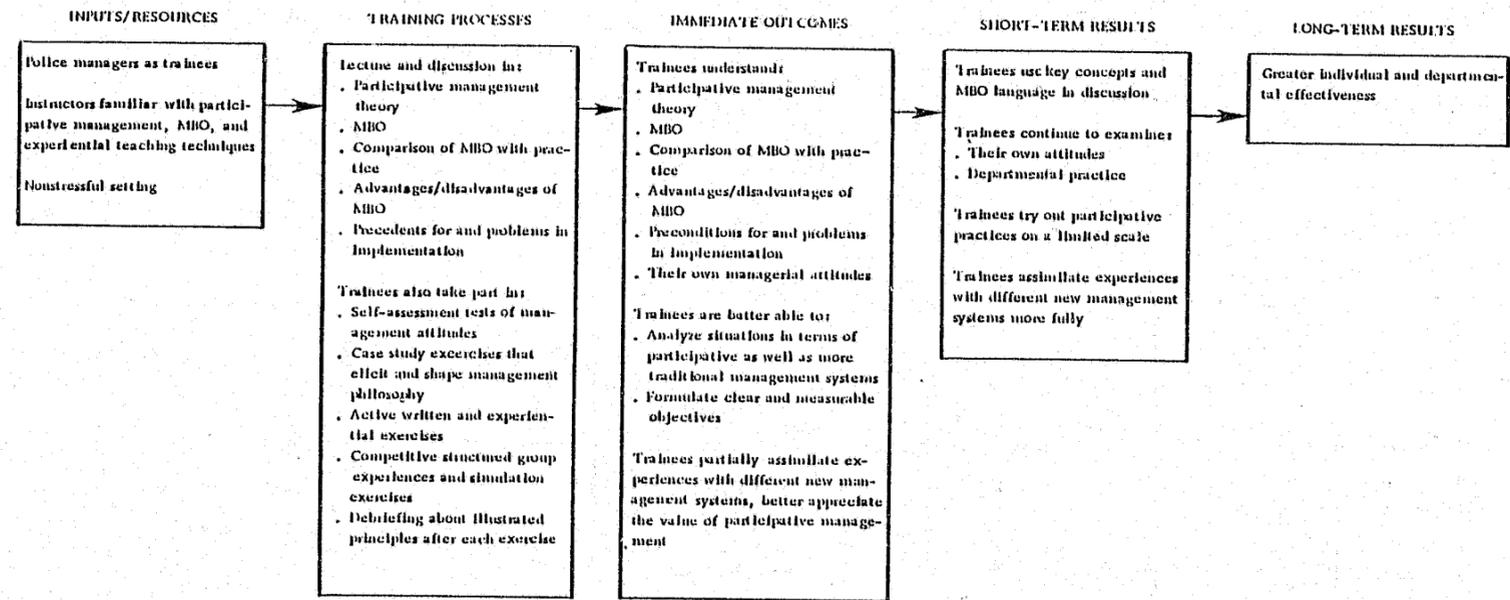
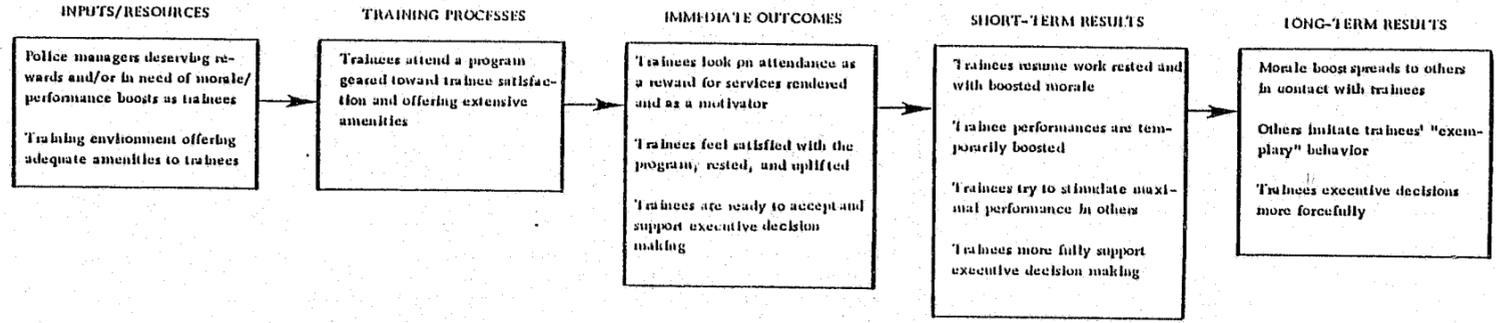


EXHIBIT 8

NEP/Police Management Training

"GREASING THE SKIDS" AUXILIARY MODEL



has impeded management development: lack of a certification and credentialing process to recognize police managers as professional managers, with skills and knowledge far beyond minimum requirements for police work.

This model uses a mandated certification program to support immediate course outcomes, perpetuate them, and supplement them by impacts on the overall system. As immediate outcomes of the process, trainees attain minimum knowledge levels, receive credentials that recognize their in-program performance and prior experience, get other incentives, possess a greater sense of professional training, and have the motivation to pursue further career development. Marginal and substandard managers are weeded out. These outcomes are perpetuated by the manager's reinforcement of prior installments in a certification sequence. These are in turn supplemented by certain system impacts, such as attraction of more qualified individuals to law enforcement careers, reduced departmental turnover, improved statewide reputation for law enforcement, and increased statewide allotment of resources to law enforcement. Exhibit 9 shows how the certification auxiliary model works.

3. Network Model. This auxiliary model assumes that to anticipate long-term impacts realistically, training programs need a way to extend their influence beyond a course's conclusion. It also recognizes that informal interaction among trainees can lead to lasting personal acquaintances. So the network model capitalizes on informal social interactions among trainees to perpetuate training effects beyond a course's conclusion. This model can flourish only in residential training programs that bring together managers of diverse backgrounds for an extended duration, in a single long course or a sequence of short ones, because such programs allow prolonged and continual interaction not just during the day but also during off-time hours.

Forming the network involves systematization of already existing informal interaction patterns, and, thus, includes both formal and informal processes. Certain activities that stimulate the network's formation take place naturally: in-class interaction of trainees from diverse departments, competition in class group activities, off-time recreational activities and informal social interaction. But program staff also structure certain activities either to intensify the interaction or to sell the value of continued contact. Class members are made to introduce themselves to "break the ice" and let others know about their specialty areas. Staff carefully plan seating and rooming arrangements, control informal interaction in scheduled social activities, and force off-time formal interaction by group homework projects. Program graduates who are now network members return to make presentations and to give the valedictory address. These graduates and staff explain formal and informal opportunities to perpetuate the interaction and spirit developed in the course. They encourage new network members to continue to rely on each other and to call on program staff freely.

These formal and informal processes have several immediate results, shown in Exhibit 10. The results can be summed up by saying that trainees recognize the value of their new acquaintances, want to continue them, and look to the program's network as a way to do so. Later on, network members maintain these personal and social acquaintances and take part in formal network activities, such as seminars, newsletters, and subsequent course offerings. They "advertise"

EXHIBIT 9

NEP/ Police Management Training
CERTIFICATION AUXILIARY MODEL

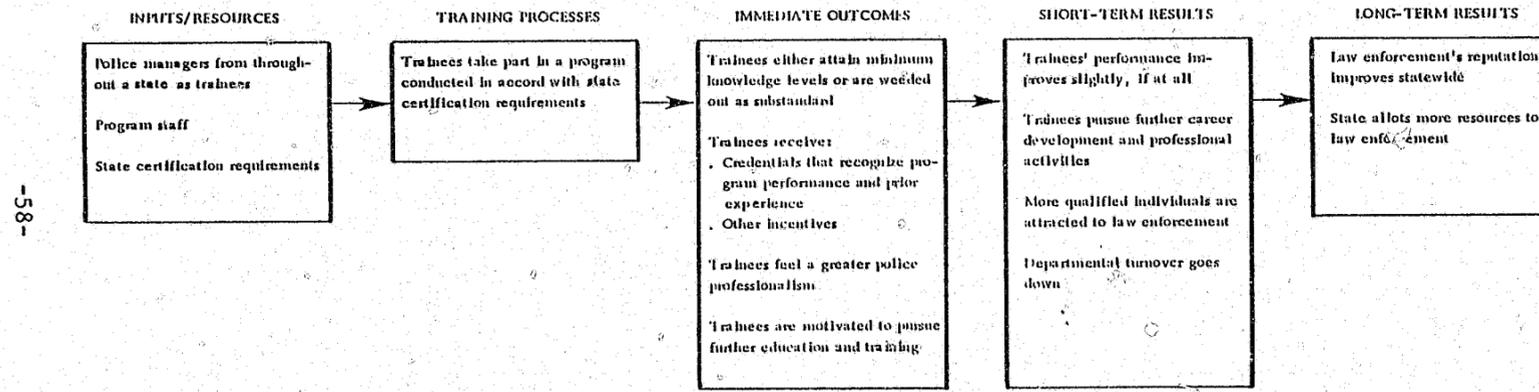
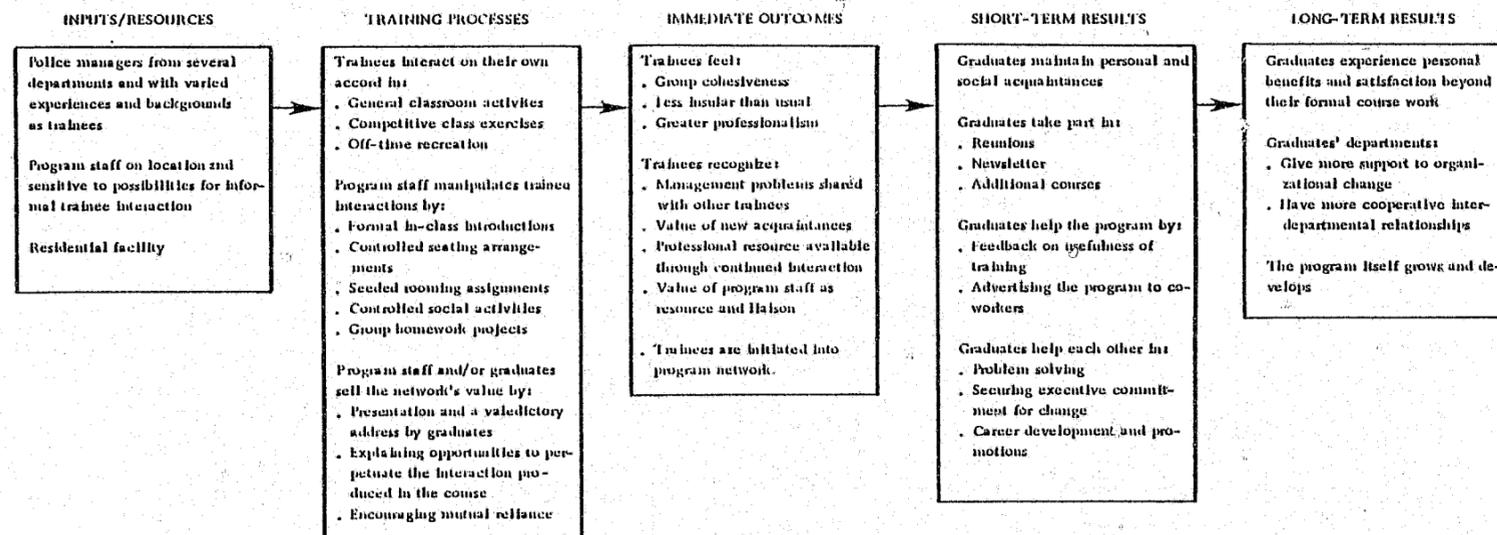


EXHIBIT 10

NEP/Police Management Training
NETWORK AUXILIARY MODEL



the program and encourage co-workers to attend. Staff and the network assist other members in problem-solving, in career development, and in securing executive commitment to change. These activities reinforce the program's overall goals while strengthening the ties among network members. There are several additional results. The network's vitality helps the program to grow and develop. Network members generally experience personal benefits beyond those obtained in formal coursework. Relations among departments of network members are more cooperative. There is also increased support for organizational change in agencies affected by the network.

4. Anointing Model. This auxiliary model presumes that, to be effective, senior police officials must possess stature and credibility based on past performance and training: an "anointing" that distinguishes them from other managers. It also recognizes that the reputations held by the major providers of police management training are closely tied to their graduates' career advancement. So the anointing model uses attendance at nationally respected programs to recognize managers already tagged for promotion to senior positions. Trainees leave the program as alumni with esteemed new credentials and influential new acquaintances. When they return to their departments, their changed status is recognized. Their duties and responsibilities are expanded, they are selected to attend additional nationally recognized programs, and their careers develop on a "fast track." Meanwhile, they keep in touch with their similarly successful classmates. Soon enough, training and career credentials give the manager the stature and "anointing" required, and he is promoted to senior staff. He still keeps contact with his classmates, many of whom are also now executives. The program itself, as a direct result, maintains its visibility and reputation based on its alumni's career advancement.

5. Departmental Decisionmaking Model. This auxiliary model assumes that implementation of departmental decisions can fail for three reasons: senior officials do not obtain sufficient input from line staff on its feasibility; the rank and file feel they have been left out of the decision; and information about implementation is distorted through ineffective communications. So this model uses training as two-way communications vehicle between senior departmental staff and line managers. First, the problem areas and managerial options are presented in a fairly conventional fashion, including comparisons of the decision with current practice, analysis of their relative advantages, discussion of preconditions and precedents for implementation, and so forth. Once line managers have information about the pending decision, they get the chance to comment on its feasibility and likelihood of successful implementation. The immediate outcomes are that trainees feel informed, perceive they have contributed to the decision, possess a group consensus about its feasibility, and are readier to accept its implications. As a result, senior staff gains valuable information about whether and how to move ahead with the decision. Trainees add to the impetus for making a decision and become less resistant themselves to eventual implementation, if not actually committed to it. Ultimately, this two-way information flow assures that the department makes an informed decision and that implementation efforts go smoothly.

6. Critical Mass Model. This auxiliary model assumes that organizational change is typically a slow, long-term process, dependent on factors that a

training program cannot directly control. It also presumes that a precondition for change is mobilization of a critical mass. This consists of enough similarity trained and attuned line managers to carry out change and enough supportive senior officials to initiate and oversee it. The process of trainee participation in a program promoting large-scale organizational change has only two immediate outcomes: the pool of graduates expands and trainees leave the program committed to its principles. After trainees return home, several activities geared to create the preconditions for change take place. Graduates "advertise" the program and its contents to co-workers, who also attend. They also assist other graduates in career development and in small-scale efforts to implement change. These activities lay the organizational foundation for acceptance of large-scale change. Once the critical mass is reached, change can follow. Exhibit 11 shows how this model works.

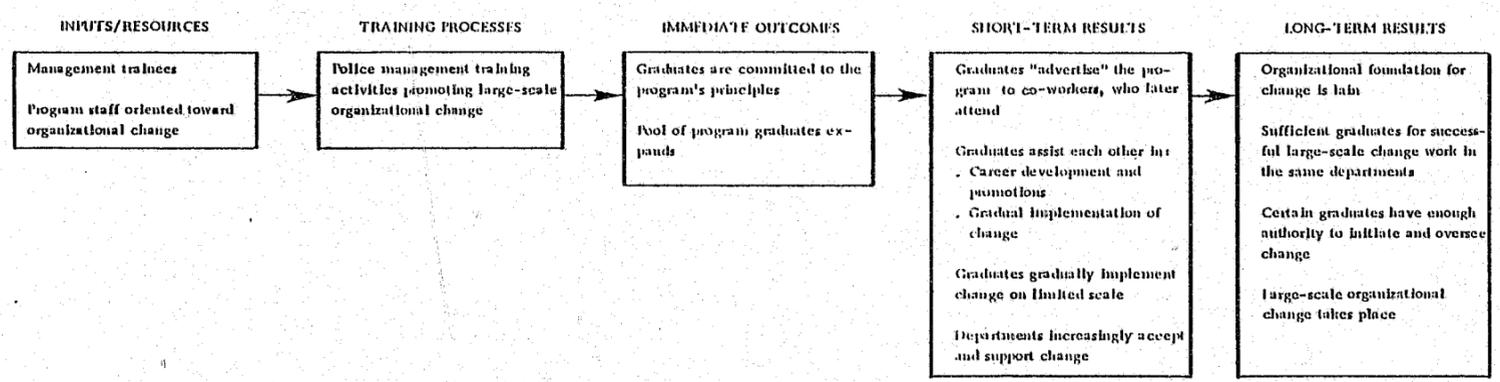
E. MIXED MODELS

To anyone involved in police management training, it should be obvious that few programs rigidly follow a single model. The models cannot generally be found in the field in a "pure" form. Instead, most programs mix two or more of the eight basic models, even when a single one predominates. With the exception of some compliance programs, each program typically appends one or more auxiliary models to the mix of basic models, to show the larger impacts sought in a department or system level.

The nature and causes of this model mixing vary among and even within programs. Much of it is officially recognized, is set forth in public program descriptions, fits together comfortably, and is quite legitimate. A lot of mixing stems from a lack of coordination that results in a "smorgasbord" type of program pointing trainees in no clear direction. Much of it also stems from the different responsibilities and stakes that people have in a program. An individual's views of program operations and goals are directly related to program responsibilities. For example, instructors usually state the basic model(s) that a program follows more clearly than do administrators, who tend to gloss over content differences and talk vaguely about "preparation to fill the specific needs of the trainee's chief." Instructors are also more likely to think in terms of building up a critical mass prepared for organizational change. In contrast, administrators and graduates of major residential programs think more in terms of the "network" being built up than instructors do, except where they too are graduates. Trainees, police executives, and departmental training officers tend to look at programs mainly for their effects on motivation and morale but also for the "anointing" effects received from major national providers. The administrators of statewide certification programs tend to highlight certain aspects of the certification model, such as weeding out inept managers and advancing police professionalism. Clearly, what one contributes to and stands to gain from a program influence the expectations one is likely to hold for it.

The problem is, this mix or "coexistence" among several models in a single program often produces ambiguity about the model or models in which the program operates. As a result, people develop divergent notions about trainee selection, staff hiring, instruction coordination, compliance with state program

EXHIBIT 11
 NEP/Police Management Training
 CRITICAL MASS AUXILIARY MODEL



requirements, program amenities, needs assessment procedures, curriculum design, and other matters. Thus, those with different functional responsibilities often do not act in concert. The variation among models and the phenomenon of model mixing may be viewed as legitimate, incidental, or just inevitable. Regardless, they have enormous implications for how programs should be managed and evaluated. A precondition for effective program management and useful program evaluation is determining carefully and exhaustively the models by which a program actually operates.

Five: Program Evaluability

What practices and circumstances impede effective program management and useful program evaluation? What can be done about them? The approach we have recommended starts with an inventory of the program's resources. This stock-taking exercise is only one aspect of the larger process called evaluability assessment, however. Although "evaluability assessment" sounds somewhat intimidating, it is simply a systematic process of asking progressively targeted questions to define a program, determine how it could be more effectively managed, and identify a useful role for evaluation in its management. Sometimes the prelude to evaluation of a program's results, evaluability assessment is not in itself an evaluation. It often shows, in fact, that investing in a rigorous evaluation would be an imprudent use of scarce resources. But it also helps one to decide on the evaluation and management questions that really need to be answered, yields practical suggestions for program improvement, and often tells exactly what one immediately needs to know.

This chapter's purpose is to provide a framework for evaluability assessment in the form of an Evaluability Checklist. This consists of seven tabular exhibits, each centered on one of the seven basic evaluability questions. In the context of these questions, we can identify relevant roadblocks to evaluability and then specify ways to eliminate or at least mitigate them. To use the checklist, the individual with evaluation responsibilities does not need special training or skills in traditional evaluation approaches. Simply to describe the actual program, identify roadblocks to evaluability, and select a strategy for program improvement, all the evaluator generally needs is common sense and an open mind.

The Checklist may then be used in two general ways. It may be used on a particular program to identify roadblocks to its evaluability and to develop approaches for making it more evaluable. On a larger scale, it may also be used to assess the state of program evaluability and to develop concerted strategies for improving evaluability. (The second use is made possible because we note the frequency with which programs across the country confront each roadblock.) Either way, the Checklist may be used either to guide the step-by-step analysis or merely to suggest the types of analysis that can be done.

A. SEVEN CRITERIA FOR PROGRAM EVALUABILITY

Before considering exactly how to use the Checklist, it makes sense first to examine its general organization. The Checklist is organized into seven exhibits, as noted above. These correspond to the seven basic questions that must be asked to determine a program's evaluability:

- o Does program management define with reasonable completeness what is expected to happen in and result from the program? (Exhibit 12)

- o How acceptable is management's intended program in terms of what policymakers expect? (Exhibit 13)
- o Does the program actually in place validly represent program management's expectations? (Exhibit 14)
- o Is it plausible that the program will accomplish its purposes? (Exhibit 15)
- o Are the program's intended means for demonstrating success feasible? (Exhibit 16)
- o Does the program's intended data system have provision for repeated observations? (Exhibit 17)
- o Are management's intended uses of evaluation evidence under its control? (Exhibit 18)

The seven exhibits share a common format. Each contains six columns: sub-questions, roadblocks to evaluability, frequency, adjustments in expectations, adjustments in activities, and adjustments in information systems. The subquestions refine each basic question into specific key issues. The roadblocks to evaluability show the practices and conditions that obstruct evaluability in relation to each subquestion. Frequency contains our estimate of the percentage of programs (expressed as High, Medium, or Low) that confront a given roadblock. The three types of potential adjustments--in expectations, activities, and information systems--express alternate ways in which the program might be changed to mitigate a roadblock's disabling effects. Expectations refer to people's beliefs about what the program does and intends to accomplish. Activities refer to how the program selects and processes trainees in training delivery. Information systems refer to ways of collecting and ordering information to answer questions about the program's services.

The checklist includes certain terms (policymaker program manager and program operator) that need to be explained. A policymaker has power to legislate approval for initiation of program development with a jurisdiction's or organization's support. A program manager serves in a direct oversight capacity by controlling the funding flow to a program and/or determining the program's intended activities and orientation. The program operator translates the program manager's partially defined intentions into practice and actually delivers the program that the policymaker legislates and the program manager oversees. The three roles often overlap in practice because the same person may have responsibility for two or even three of them.

B. EVALUABILITY CHECKLIST AS A SELF-ASSESSMENT TOOL

The simplicity of the Evaluability Checklist is its strength. It reduces many complex concepts into one practical self-assessment tool. It not only helps assess the current condition of a program but also points out actions that may be taken to manage the program better. The Checklist can be used in several ways, but the following tested procedure seems most effective:

CONTINUED

1 OF 2