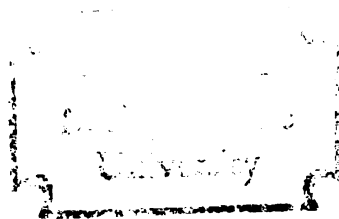


A DESCRIPTION OF RESEARCH AND PLANNING IN  
FIVE MEDIUM SIZED POLICE DEPARTMENTS

Thesis for the Degree of M. S.  
MICHIGAN STATE UNIVERSITY  
ROBERT A. SCHULTHEISS  
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FIVE MEDIUM SIZED POLICE DEPARTMENTS

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A Thesis  
Presented to  
The Faculty of  
The School of Criminal Justice  
Michigan State University

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In Partial Fulfillment  
of the Requirement for the Degree  
Master of Science

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by  
Robert A. Schultheiss

March 1975



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## Chapter 1

### INTRODUCTION

The general problem or area of concern of this study is the effectiveness of police research and planning efforts. The specific problem is to define and describe the factors which are prerequisite to the development of an effective police research and planning unit.

Until recent years, police research and planning units have been considered by many police administrators to be luxuries, or "window-dressing,"<sup>1</sup> units which were to be staffed only when there were extra people, officers with a physical disability, or officers that just didn't fit the traditional mold. These units had no real effect upon the policy or operation of the department. All of this was possible because the police administrator received very little pressure to improve the operation of the department from municipal or state government and, least of all, from the citizenry. What pressure he (the police administrator) did receive was primarily concerned with the suppression or prevention of corruption within the department.

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<sup>1</sup>James L. LeGrande & Raymond T. Galvin, "Current Emphasis on Planning and Research", Planning and Research Bulletin Number I, Michigan State University, 1968, p. 2.

Then, in the late 1960's, riots rocked the nation; most of the major cities and many of the medium-sized cities witnessed these civil disorders. Besides whatever social or political changes which were brought about by the riots, they also served to focus attention upon the nation's police departments and their lack of effective planning. The Kerner Commission (The National Advisory Commission on Civil Disorders) made several recommendations regarding police planning which can be summarized as follows:

A. Mobilization plans were, for the most part, inadequate and should be extensively reviewed.

B. Operational plans failed to take into consideration communications problems, rumor control, and tactical deficiencies.

C. Logistical support plans failed to consider equipment and supplies inventories, transportation of both officers and equipment, and relief of personnel.<sup>2</sup>

The mid and late 1960's also saw an increased citizen and government interest in the problem of crime in the United States. The police, being the most visible component of the criminal justice system, received both the brunt of early criticism and the lion's share of the federal anti-crime funds, appropriated by the Omnibus Crime Control Act

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<sup>2</sup>Report of the National Advisory Commission on Civil Disorders (New York: Bantam Books Inc., 1968), pp. 484-489.

of 1968. The President's Commission on Law Enforcement and the Administration of Justice in its Task Force Report: The Police, recommended an increased emphasis upon operational planning.<sup>3</sup>

The aforementioned recommendations have continued to be made by various citizen groups and government agencies. The Michigan Office of Criminal Justice Programs has continually allocated money for the improvement of police research and planning units.

In less than ten years, police research and planning has been transformed from a luxury item to a high priority item (at least in the opinion of the "experts"). Since the use of research and planning units is relatively new to the police field, there exists among many police administrators confusion regarding how to organize and utilize these units. The purpose of this study is to define what factors are necessary for the development of an effective police research and planning unit.

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<sup>3</sup>The Presidents' Commission on Law Enforcement and the Administration of Justice, Task Force Report: The Police, (U. S. Government Printing Office, Washington, D. C., 1967) pp. 25-27.



## Chapter 2

### REVIEW OF THE RELEVANT LITERATURE

#### Police Literature

The vast majority of police-oriented literature regarding the development and use of research and planning units is divided into three major categories. The first basically describes the need for effective planning. Examples of this type of literature are as follows:

In fact, the greatest weakness in the police field today is the failure of police executives to plan and anticipate the public needs.<sup>4</sup>

or

. . .The application of science and technology in the police field is divided into five areas: information processing, crime prediction, manpower allocation, equipment, and the role of the police force in society. . . .The area of crime prediction and manpower allocation has seen some research and development done, but there exists a rapidly growing body of techniques that have not been applied to this phase of police work. Even the feasibility of applying these techniques hasn't been fully explored. . . Finally, the whole area of the role of the police force in society has been virtually ignored . . .<sup>5</sup>

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<sup>4</sup>Raymond E. Clift, A Guide to Modern Police Thinking (2d ed.; Cincinnati, Ohio: W. H. Anderson Co., 1965), p. 35.

<sup>5</sup>Travelers Research Center, A Literature Reveiw of Police Planning and Research (Connecticut: Connecticut Research Commission, 1968), p. 169.

The recommendation of the Presidents' Commission on Law Enforcement and Criminal Justice, the Kerner Commission and the recommendations of the state planning agencies are all in this category.

The second category of police-oriented literature primarily discusses the chief's responsibility for planning. It also suggests that the police executive should stimulate and support the planning process throughout his department. These texts appear to use the concepts of O. W. Wilson as a foundation. They are quite vague with regard to the steps that the chief should take and the attitudes which he must support in order to develop an effective planning unit. The following is an example of this type of literature; it is taken from O. W. Wilson's Police Planning:

The Chief of police has the ultimate responsibility for all processes operating in the organization. . .however,. . .provision must be made in organizational structure for a planning unit to be held responsible for plans that are department-wide in scope. . . and for supervising the planning process throughout the department.<sup>6</sup>

Wilson and other authors, such as V. A. Leonard and John C. Kenney, further state that the first responsibility of an effective planning unit is to stimulate the planning process in other areas of the department. These authors do not explain or identify the factors that are necessary in

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<sup>6</sup>O. W. Wilson, Police Planning (Charles C. Thomas, Springfield, Ill., 1952), p. 7.

order to accomplish this end. In fact, there is no attempt to define an effective planning unit.

The third category of police literature dealing with planning and research units generally concerns the planning process (i.e., discovery of the problem, problem clarification, collection of data, identification and evaluation of alternatives) with a few superficial recommendations. The recommendations are usually not detailed or complete enough for the administrator to use them to develop an effective planning unit. Municipal Police Administration published by the International City Managers Association is an example of this type of police literature. The recommendations made in this text are as follows:

The success of the planning unit is largely dependent upon the qualifications of its staff members. They should have imagination, good judgement, initiative, persuasiveness, and knowledge of the principals of police administration. They must be personable and able to work well with people, since part of their task will consist of gaining consensus on the solution of a specific problem or the acceptance of a point of view.<sup>7</sup>

Vital to the operation of any planning unit is its relationship to the chief. Planning officers must recognize that their main mission is to assist the chief and the department in the accomplishment of primary objectives. . . . At the same time, the administration must provide

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<sup>7</sup>Municipal Police Administration 5th Edition,  
International City Managers Association, Chicago, 1961,  
p. 86.

the planning unit with an appropriate environment. Creativity and initiative should be encouraged, experimentation should be rewarded. . . .With a balanced relationship such as the one discussed above, any department should be able to execute a sound planning program.<sup>8</sup>

A more recent booklet in this same category purports to discuss and analyze the "structure, function and resource requirements of planning units in a local police department. . . . The role of the police chief as the basic link between police planning and police management."<sup>9</sup> The booklet does summarize the many faceted role of the police chief, but it does not address the specifics of developing and supporting an effective planning unit.

The National Advisory Commission on Criminal Justice Standards and Goals made several very specific recommendations regarding police planning. The publications of this commission provide the most useful information for the development and evaluation of a planning and research unit. The commission dealt briefly with the attitudes that the chief must develop.

The police chief executive must provide the proper direction and an atmosphere that

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<sup>8</sup> Municipal Police Administration 7th Edition,  
International City Managers Association, Chicago 1971,  
p. 216.

<sup>9</sup> Walter J. Diggles, Police Planning and Analysis  
Office, College of William and Mary Metropolitan Criminal  
Justice Center, Williamsburg, Virginia, 1973. Authors  
Abstract.

encourages operational planning throughout the agency.<sup>10</sup>

The Commission further recommends the following methods for developing the proper atmosphere:

The first step should be the formulation and dissemination of a strong and unequivocal policy statement expressing a commitment to planning and to positive change.<sup>11</sup>

Also recommended was that the agency's planning policy be written. This policy should state the goals of the planning unit, the need for and commitment to continual planning, and the qualifications of planning personnel. The responsibilities of the planning unit should at a minimum include:

- A. Developing plans to improve the performance of the agency.
- B. Reviewing and updating existing plans.
- C. Coordinating the planning of other divisions in the department.
- D. Organizing planning information.
- E. Assisting the chief executive in setting agency goals.

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<sup>10</sup> National Advisory Commission for Criminal Justice Standards and Goals, Police, U. S. Government Printing Office, Washington, D. C., 1973, p. 118.

<sup>11</sup> Ibid.

The commission concluded that one of the best measures of planning unit effectiveness is successful implementation of plans.

The police-oriented texts were not very helpful with regard to the "mechanics" involved in developing an effective planning unit. An example of the kinds of "mechanics" which would have been more useful to the police executive searching for a means to improve the effectiveness of his planning unit was found in an article in a professional journal describing the use of planning task forces for solving departmental problems and for goal setting.<sup>12</sup> Another example of relevant material, which is generally missing from police-oriented literature, was a discussion of the relative merits of alternative decision making methods.<sup>13</sup> The primary problem with utilizing journal articles and other similar publications is that they seldom contain sufficient detail to be utilized for anything more than idea generators.

#### Business Literature

Research and planning or research and development offices have been commonplace in the business world for a

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<sup>12</sup>Charles R. Ray and Miles R. Warren, "Kansas City-Long Range Planning Program", Police Chief, Volume 39, #5, May 1972, p. 72.

<sup>13</sup>Thomas G. Nicholson, "Delphi: Revolutionary New Tool for Use in Criminal Justice Administration", Michigan State University (term paper), November 1972.

long time; so long, that business literature no longer discusses the pro's and con's of establishing a unit, but rather discusses the "mechanical" aspects of developing and supporting a planning office. There seems to be a great deal of concurrence among business and management "experts" as to the placement of the planning unit within the organizational structure--in close proximity to the executive. One of the points which is continually discussed is the need for the chief executive to take the planning unit into his confidence:

To a marked degree, the success of the planning efforts depends on the confidence that the chief executive acquires in the maturity and ability of his planning group. He will be ready to take them into his confidence only if he respects their judgement and objectivity. And they in turn will be able to put forth tentative ideas and suggestions only if they feel that they have gained his confidence.<sup>14</sup>

Another point which is continually a part of the business literature is that the chief executive must be intimately involved in the planning process. Myles L. Mace very succinctly described this involvement.

Effective corporate planning is not possible without the personal involvement of the chief executive. . . Involvement and leadership mean spending the time and energy to manage the function to see that something

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<sup>14</sup>David Ewing, editor Long Range Planning for Management; Eli Ginzburg and Ewing Riley, "The Executive in Charge of Change," (New York: Harper and Row Publishers, 1972), p. 160.





concrete is done. This means personally putting into action what is too often abrogated by general words and phrases. In specific terms, there are two fundamental functions which absolutely demand the chief executive's active involvement:

1. Leadership in the tough and laborious process of realistically evaluating existing product lines, markets, trends, and competitive positions in the future.

2. Leadership in the establishment of corporate objectives.<sup>15</sup>

As stated previously, the research and planning unit should be in close proximity to the executive. However, it should not be placed outside the mainstream of organizational management and decision making.<sup>16</sup> If the planning office is placed outside the management mainstream, the following problems will, in the opinion of most management experts, arise:

1. The initiation of innovative ideas will be more difficult, because of the need to get the ideas into the mainstream of management.

2. Resistance to change on the part of lower and middle management will be increased.

3. The cost of change - both mental and physical - will be increased by requiring a change in orientation.<sup>17</sup>

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<sup>15</sup> Myles L. Mace, "The President and Corporate Planning" Harvard Business Review, January/February 1965.

<sup>16</sup> Russell L. Achoff, A Concept of Corporate Planning (New York: Wiley-Interscience, 1970), p. 132.

<sup>17</sup> Melvin Anshen, "The Management of Ideas," Harvard Business Review, July/August 1969, p. 101.

The literature also discusses a number of planning models, however, it seems to favor a company wide, democratic model. This model features, in its ideal state, input from all levels of the organization, with each major subdivision of the organization doing its own planning. The corporate planning unit, in this model, serves as a resource center, a catalyst, and a coordinator. No matter what planning model is chosen, the literature does warn against the assignment of all planning responsibility to a planning unit. Mr. Russel Ackoff stated the warning quite clearly when he wrote, "If a planning unit is given the complete responsibility for preparing a plan and submitting it for approval by managers, then, in most cases, planning has been given the kiss of death. This is because there is a necessity for obtaining input from all units affected by the plan. These units would be most likely to have an intimate knowledge of the effect new plans would have on their particular operation and would also be more committed to achieving a successful implementation of those plans in which they participated."<sup>18</sup>

Besides advising the executive on the means of developing a planning unit, the business literature also discusses the "mechanics" of motivation and possible problem

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<sup>18</sup>Anshen, op. cit., p. 129.

areas with regard to planning unit effectiveness. The police-oriented literature discussed the need for planning unit personnel to be highly motivated and creative. It failed to discuss the indicators that the chief could use to determine the degree of motivation or what factors affected the development of creativity. The business literature, on the other hand, is very specific regarding these areas of concern. With regard to the indicators of a high degree of motivation, Russel H. Ewing states that highly motivated men:

- A. Are interested in their jobs.
- B. Feel that their jobs are important.
- C. Feel informed about things vital to them.
- D. Feel that supervisors are considerate.
- E. Develop active and effective teamwork.
- F. Value efficiency, creativity and productivity.<sup>19</sup>

Mr. Ewing states that if these factors are missing, the executive should attempt to increase the motivational level by involving more people in the decision-making process, and also delegating authority. According to Mr. Ewing the development of creativity is stifled by:

- A. Apathy
- B. Lethargy

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<sup>19</sup> Russel H. Ewing, Principles of Motivation, National Institute of Leadership, Beverly Hills, California, 1962, p. 21.

- C. Complacency
- D. Inertia
- E. Tyranny<sup>20</sup>

If these factors are present either in the planning staff or in management, the concerned executive should take corrective action.

### Summary

The police-oriented literature was instrumental in defining planning unit responsibilities, establishing the need for a research and planning unit in the police organizational structure and providing a partial method of evaluating planning units. The business literature defined:

- A. The relationship of the planning unit to the executive/chief.
- B. The means by which the executive/chief supports the planning unit.
- C. The placement of the planning unit in the organizational structure.
- D. A model of planning unit functioning.
- E. Indicators of motivation and creativity.

These definitions will be utilized in the examination of the five police research and planning units which are the basis for this paper.

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<sup>20</sup>Ibid., p. 25.

## Chapter 3

### PROJECT DESIGN

#### Purpose

This study will investigate the state of research and planning efforts in five medium-sized police departments. It will focus upon:

- a. the relative effectiveness of the research and planning units, and
- b. the comparison between recommendations made in the relevant police administration and business oriented literature.

The end result will be the development of a set of guidelines to aid the police executive in improving the effectiveness of his department's research and planning capabilities.

There are two key terms that require definition. The first is "research and planning unit". A research and planning unit is a portion of an agency dedicated to the "marshalling of facts relevant to the solution of particular problems, evaluation of alternative solutions, and the detailing, in advance, of action to be taken toward implementing desired changes",<sup>21</sup> and the analysis of both

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<sup>21</sup>LeGrande and Galvin, op. cit., p. 2.

old and new policies, procedures or equipment, to discover possible application for the solution of contemporary police problems. The second term is effectiveness. It is defined as the ability to produce progress toward the desired goal of planned change.

### Sample Selection

The five agencies were selected from a list of cities with populations ranging from 100,000 to 250,000 people and with police departments ranging in size from 250 to 500 sworn personnel. The list was developed from a listing published by the International City Managers Association.<sup>22</sup> Those agencies on the list (as determined by population and department size) that had research and planning units were eligible for selection. The final selection was based upon the area of the nation and the distance from the researcher's base. An attempt was made to include a department from each major region of the nation.

### Data Collection

The data was collected by using three interview schedules (Appendix A), one for the police chief, one for

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<sup>22</sup>Municipal Yearbook, 1974, International City Managers Association, Chicago, Ill., 1974.

research and planning personnel, and one for other departmental personnel--which included all major divisional commanders, representative shift and bureau commanders, detectives and patrol officers. The interview schedules were pretested in the Ann Arbor, Michigan Police Department. This department did not meet either the population or the department size parameters, but it did have a Research and Planning Unit. The purpose of the pretest was to determine if any revision of the interview schedule was necessary. The accuracy of the data collection instrument was measured in a gross sense by conducting several interviews within each agency; in this way, any major inconsistencies were likely to appear. Interviews with agency personnel were compared to discover common elements. The result is a descriptive report of the methods, procedures and attitudes found in five medium-sized police departments with regard to the operation of the Research and Planning Unit.

#### Practical Application

Most of the literature regarding police planning has been theoretical in nature; there has been very little written about the actual operation of police planning units. Consequently, it is very difficult for the chief to know how to develop an effective planning unit. It is hoped that this project will provide police executives with a realistic concept of how to either improve their

existing planning capability or how to develop a planning unit by providing them with methods and procedures which have been useful in other agencies.



## Chapter 4

### INTERVIEW RESULTS

#### Introduction

This chapter will include a brief discussion of the demography of each of the sample cities. Included in this discussion, is a description of the political climate in each of these cities as it pertains to the operation of the police department.

This chapter will also compare the attitudes and opinions regarding the Research and Planning Unit of the various command, staff, and operational personnel from the sample departments toward their Research and Planning Units.

The police chiefs in each city were assured that the name of the city would not be used. This was done to quiet any fear that this research would cause any unpleasant repercussions, and thus reduce the risk of false or misleading information.

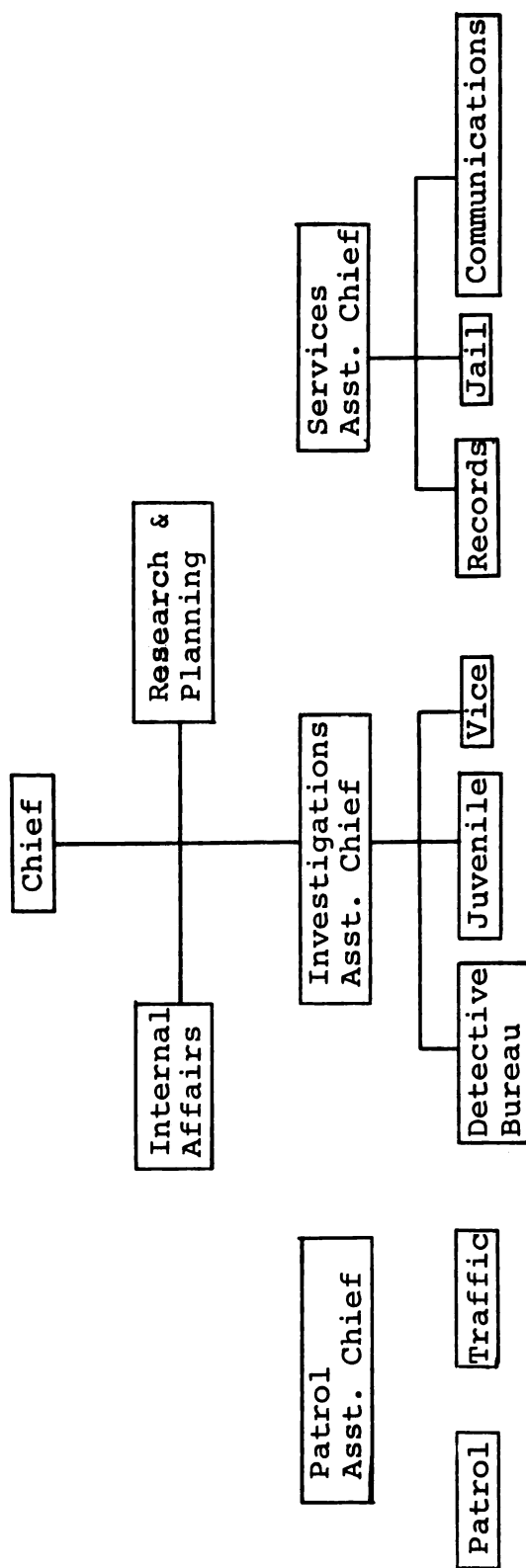
#### Selected Demographic Characteristics

City A. City A is located in the north-central region of the United States. It has a population of approximately 200,000 people and is a major industrial,

educational and business center for its particular state. It has a manager/council form of government.

The police department has approximately 350 sworn officers. The Chief of Police reports directly to the City Manager, as do other department heads, and serves as chief at the discretion of the City Manager. The Chief does, however, hold a permanent civil service rank of Captain.

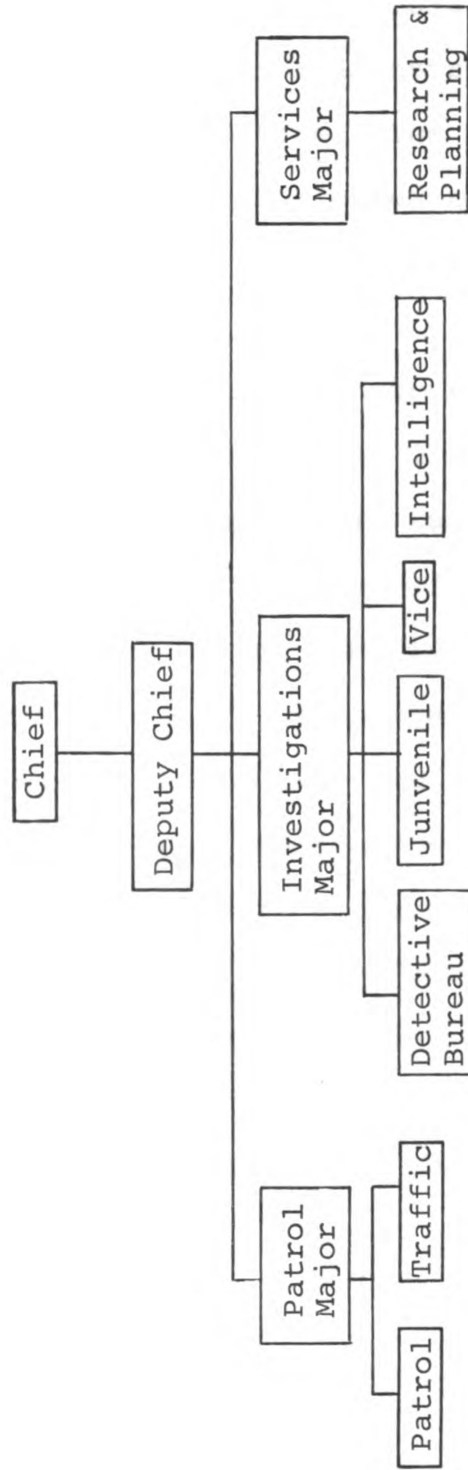
Both the news media and the city council seem quite concerned about the crime problem, and appear to exert considerable pressure upon the police department to correct the problem. In fact, when the researcher was in City A, there was a considerable furor over the way in which City A compared to cities of similar size with regard to Uniform Crime Report returns. City A had suffered an increase in reported crime in comparison with these other cities.



City A. Organizational Chart

City B. City B is located in the south-central region of the country. It is a major industrial and transportation center for the region. It has a population of 168,000. The city has a strong mayor form of government.

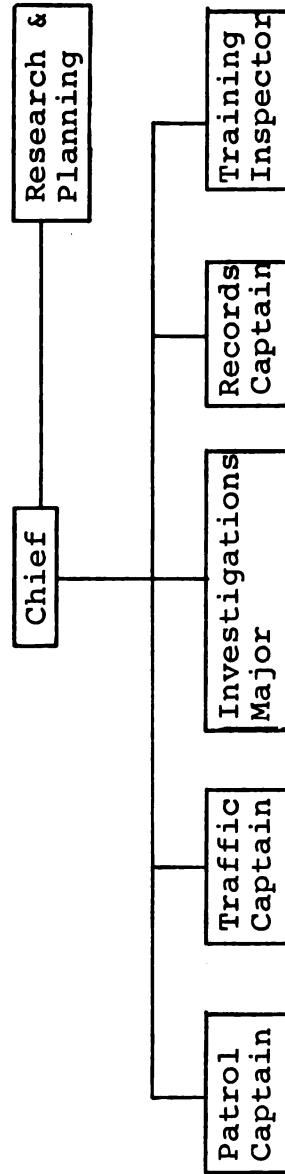
The police department has approximately 320 sworn officers. All officers above the rank of Captain are appointed and serve at the discretion of the mayor. The Chief had been recently appointed, as had the rest of the command staff. With the exception of the chief, the command staff is quite young, with the average age in the early 40's. All of the command staff have worked their way up through the ranks, with an average time-in-service of 17 years and time-in-grade of one year.



Department B. Organizational Chart

City C. City C is located in the southeastern region of the United States. It has a population of approximately 195,000 people, and is a major industrial and educational center for its particular state. The industry is widely diversified, but is largely oriented toward the manufacture of heavy machinery. A major state university is located in City C.

This city has a strong mayor form of government. The Chief of Police reports to the Director of Public Safety, who in turn is responsible to the City Commission; the Chief serves at the discretion of the Director of Public Safety. The Chief and all of the Division Commanders are in their late 40's to early 50's, and they all have worked their way up through the ranks. The Director of Public Safety, on the other hand, spent several years in another law-enforcement agency before being appointed to his present position. The Director of Public Safety does not appear to take an active role in the day to day functioning of the police department, but is more involved with the development of public safety (police and fire) objectives.

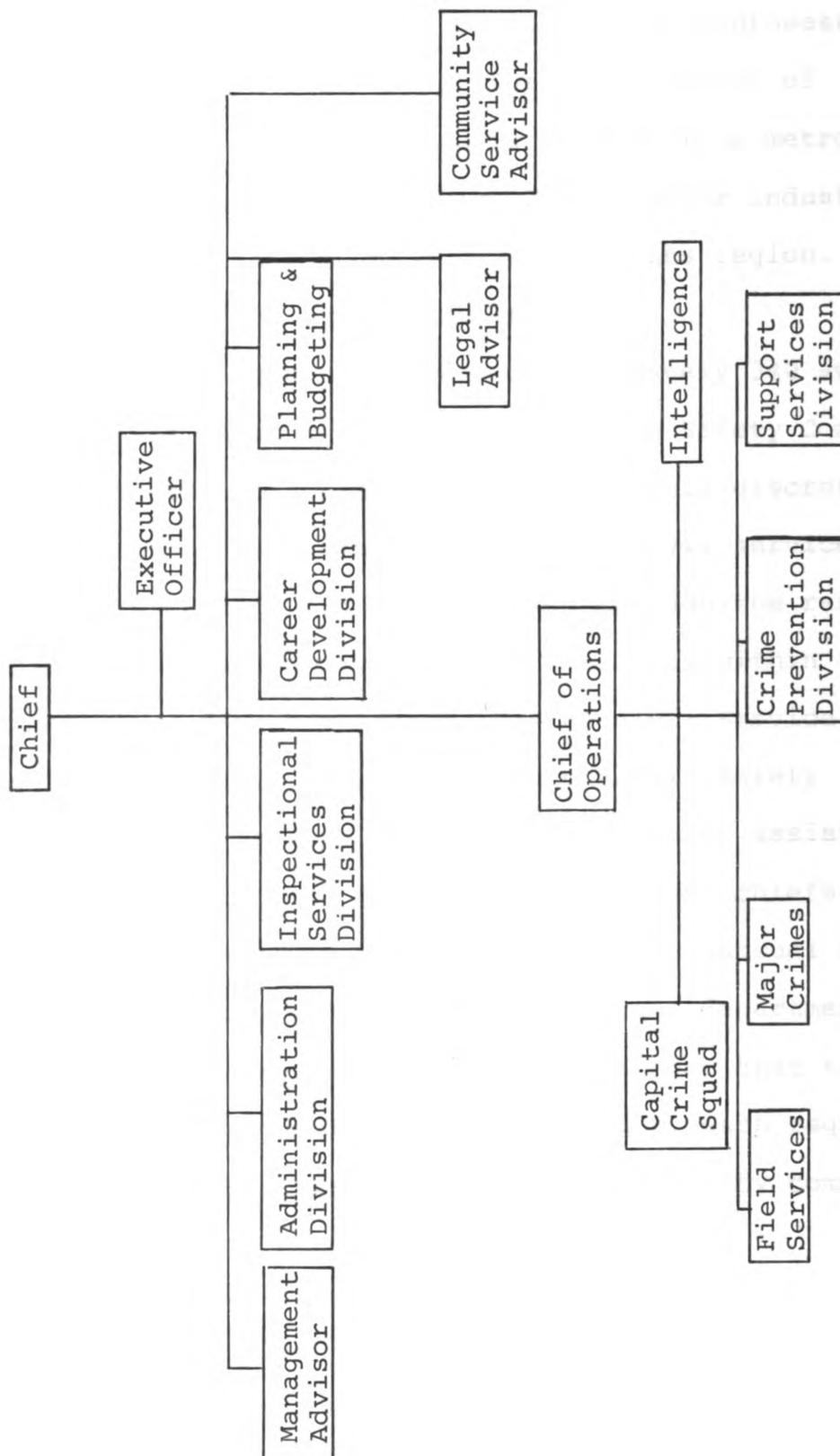


Department C. Organizational Chart

City D. City D is located in New England. It is a major business and educational center for its region. The city is quite small in land area, but it has a resident population of 150,000 people and a commuter population of approximately 300,000 persons. A major portion of the city's land area is devoted to commercial purposes. A very high proportion of its residents are in the lower socio-economic strata. City D utilizes the council/manager form of government.

The police department has approximately 450 sworn officers. It has a highly developed, although quite splintered, administrative staff structure, with several sections having overlapping responsibilities. The Chief of Police is directly responsible to the City Manager. The chief has been recently appointed; having been hired from outside the department. He has had considerable administrative experience, as a result of having risen to a position of considerable importance in one of the nation's largest police departments. The department is in a state of flux, as the influence of a new chief begins to be felt.

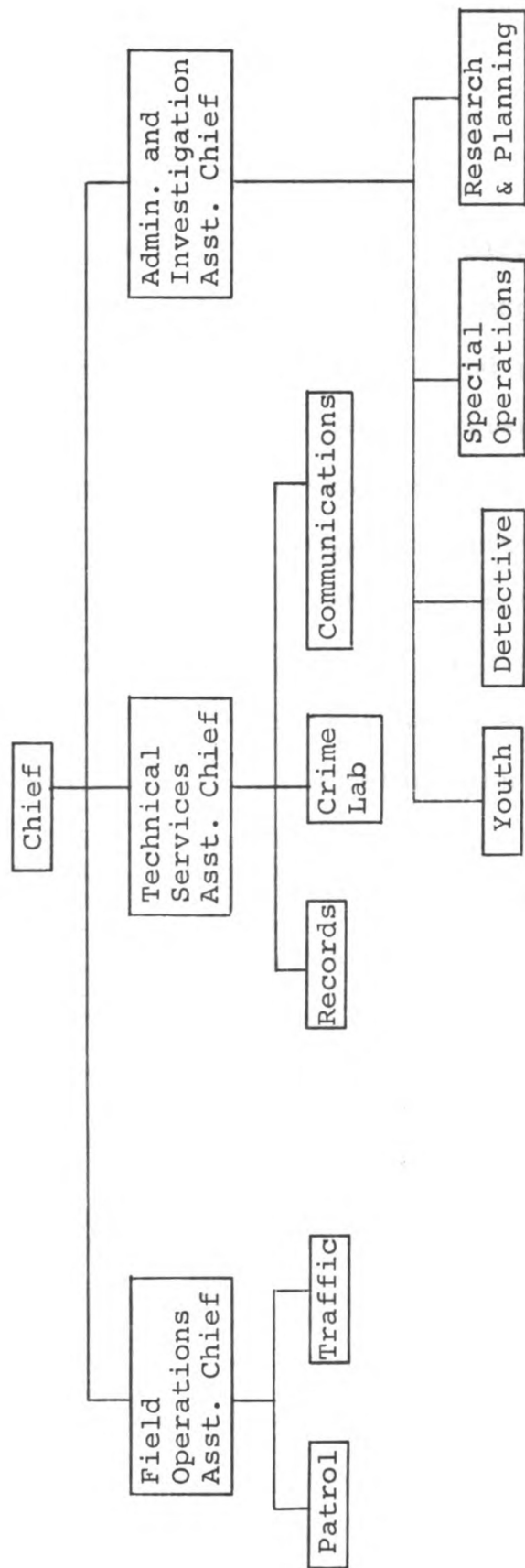




Department D. Organization Chart

City E. This city is located in the southwestern region of the United States. It has a population of approximately 180,000 people and is located in a metropolitan area of 500,000 people. City E is a major industrial, educational and transportation center for its region. It has a commission form of government.

The police department has approximately 340 sworn personnel. The Chief reports to the Public Safety Commissioner, an elected official, and serves at his discretion. The Police Chief does retain a permanent civil service rank, usually Captain, if he has risen through the ranks. The present chief, however, did not come from within the department, and for this reason, has no civil service rating. The Chief is appointed by the Public Safety Commissioner, and he (the Chief) appoints three assistant chiefs from the Captains ranks. The assistant chiefs also hold their permanent civil service rank. An unusual aspect of this department, when compared with other departments in this study, is that this was the first year that the department was given a budget. In the past, each request for funds was acted upon individually by the city commission.



City E. Organizational Chart

Organization, Staffing and  
Responsibilities of the  
Planning Units.

There was a great deal of difference among the sample departments with regard to the organization, staffing and responsibilities of research and planning units. The units ranged in size from two civilians with no police experience to a staff of ten, most of whom had police experience. The units' responsibilities varied between coordinating the planning effort for the entire department to minimal planning responsibility. City A is the only one of the sample cities that had a written definition of its responsibilities; this definition is as follows:

The purpose and function of this section is to perform an administrative staff function for the Chief of Police in the development and implementation of short and long range planning and procedure application for the department. The Research and Development Section shall further analyze and assimilate police statistics and current crime and traffic data. The Research and Development Section shall also provide staff assistance where more than one division is involved, or where assistance is requested by an Assistant Chief on behalf of a division.

City D had written statements of the supervisor's responsibilities, but no overall statement of the unit's responsibilities. In City C, the Planning Unit was partially funded by a federal grant, and the grant provided minimal guidelines for the functioning of the unit. Cities B and E had no formal statement of the units' duties. In these two cities, it appeared that this created a sense of

aimlessness, with neither the planning unit nor the administration being really sure of the unit's responsibilities; this led to the assignment of non-planning related duties. For instance, in one city, the police planning unit supervised the move from the old headquarters to the new headquarters; it was also responsible for the assignment of office and building keys. In the other city, the planning unit was assigned responsibility for setting up a police booth at the state fair and also arranging communications for officers assigned to the fair.

In three of the sample cities, (A, C & D) the Research and Planning units were directly responsible to the Chief of Police. The Research and Planning Units in cities B and E were responsible to the Commander of the Services Division; as a result of this arrangement, the planning unit was seldom allowed to participate in administrative staff conferences. This, in turn, reduced their knowledge of departmental problems.

#### Research and Planning Interview Results

In all five cities, interviews with Research and Planning personnel produced three common denominators. Virtually all of the respondents felt that the planning units' greatest assets were personnel oriented. This included the personalities and capabilities of planning

unit personnel and also the personal relationships between the planning unit and the other organizational units. It was generally felt that the relationship between the planning unit and the organizational units had a great influence upon the effectiveness of the planning unit. The most critical relationship was the one between the Chief and the planning unit. If it was strong and the unit felt that the Chief would support them in their endeavors, then the unit felt more effective. An example of this kind of relationship was in City A, where, when the Chief wanted to divide the city into two radio frequencies, the Planning Unit opposed the plan basing their opposition on the then existing patrol sector configuration and the number of times a patrol unit was dispatched outside of his sector boundaries. After considering their arguments, the Chief tabled the frequency plan until Research and Planning could develop new patrol districts.

The personalities of the Research and Planning personnel were also found to be important. They had to be "easy to get along with," friendly, and honest in order to perform effectively; they also had to be adept at problem solving. One planning officer described problem solving as "finding the back door"; he said that he very seldom approached a problem directly, but always looked for "the back door."

The second common denominator was in regard to the units' greatest deficits. This also was personnel oriented; everyone felt that their unit could easily use one or two more men. They gave the following reasons:

City A, with an authorized staff of 7 but functioning with 5 because of budgetary limitations, felt that most of its planning was of an operational nature. They would use additional men to implement long range planning.

City B, with a staff of 3, was not able to keep pace with requests for information or statistics from the various division commanders.

City C, with 2 civilians, authors and administers all of the department's grant applications. The director would like someone with an auditing background to assist in grant administration.

City D, with a staff of 10, needs someone with a knowledge of computer programming to aid in the development of their management information system.

City E, with a staff of 2, would use an additional person to solicit comments and opinions from operational staff and also to aid in the implementation of projects.

The third common denominator was money; virtually all of the departments studied were on a semi-austerity, if not austerity budget. Without applying for federal funds, there was no money to implement innovative projects. The

lack of money also affected the size of the department, and most of the departments were at minimum staffing levels.

All three of these common denominators are supported by the recommendations made in the literature. With regard to personnel and personal relationships as assets to the planning process, the literature indicates that these are very important assets. It also recommends that a planning unit be adequately staffed in order to perform effectively. Money is always important, especially with regard to implementing change.

While the aforementioned items were common to all of the departments studied, a number of differences were noted. One of these differences was the degree of research and planning unit involvement in the development and administration of the department's budget. In City A, the Planning, Programming and Budgeting system is used; the Research and Planning Unit administers the department's budget and also assists other divisions and units in the preparation of their budget proposals. In contrast, City C's Planning Unit is not at all involved in the budgeting process. The other three cities fall on a continuum between these two extremes. City A's involvement with the budgetary process enabled them to influence the flow of funds to those areas of the department's operation which had the greatest need. It also provided the opportunity to assess the functions of the various units within the



department. The Research and Planning staff felt that this was one of the keys to their success. The planning staff in City C felt somewhat frustrated because the only way in which they could effect the operation of the department was through the obtaining of federal funds. From the cities studied it appeared that the greater the involvement with the development and administration of the budget, the greater effect the planning unit had on the implementation of change in the department.

Another area of divergence among the sample departments is the degree of involvement in the goal setting process. Of the sample cities, City E appeared to be the most heavily involved in the development of departmental goals. They have developed a five year plan, which is updated annually. This plan was developed from interviews with both command and operational personnel, and it encompasses virtually the entire department. City A, on the other hand, has not had the same degree of involvement. They have been more concerned with operational planning and implementation of recommendations made by the I.A.C.P. as a result of a study conducted in 1969. City C's planning unit is only involved in goal setting to the extent of attempting to find funding for some of the desired departmental improvements. The planning staff of both Cities A and C felt that if they became more involved with the goal setting process and long-range planning, they would be more

effective. Cities B and D do not appear to be at all involved in this process. It should be remembered that the full impact of the new Chief in City D has not yet been felt.

A third area of difference is the effect that Research and Planning has upon departmental policy. The effect ranges from City A, where the Planning Unit authors most policy statements for virtually all areas of the department's operation, to City B, where the Planning Unit has only a marginal effect upon departmental policy, because it only becomes involved at the request of the Deputy Chief. City C affects departmental policy by obtaining federal funds for special operations, equipment, training, etc. In City D the planning unit edits, "polishes," and coordinates policy generated within each of the department's major divisions. City E, like City B, only rarely became involved with policy making, and when it did, it was only to make recommendations and suggestions. If changes in departmental policy are made as a result of an analysis of departmental problems and also in response to the stated goals of the department, then progressive change is more likely.

#### Chief of Police Interview Results

An attempt was made to interview the Chief of Police in each sample city. This was not possible in two

of the cities, because of illness in one city, and the development of an administrative crisis in the other. In these two cases, the Assistant or Deputy Chief was interviewed instead of the Chief.

With one exception, none of the chiefs received any sort of explicit guidelines from their city governments regarding the administration of the police department. City A was the exception. Its Chief had been given two directives; the first was that the city commission wanted a "clean" department with no scandals, the other directive was to implement as many of the I.A.C.P.'s recommendations as possible. The Chief in City D was not given such precise directives, but had been led to believe that, since he had been hired from outside the department, he was to "revitalize" the operation of the police department. The chiefs and planning staffs jobs were made more difficult by a lack of direction from city hall. Without it, the chief and planning staff can never be certain of their city government's long-range desires.

There was a great deal of consensus among the chiefs regarding the criteria for selecting planning personnel. The three major criteria were:

- A. Education
- B. Experience
- C. Personality

Three of the chiefs felt that a college education was desirable for planning staff. Their reasoning ranged from the feeling that college provides exposure to innovative ideas to the belief that college provides a person with certain basic research skills such as "knowing where to look" for possible answers. The experience that was mentioned was primarily police experience, but it was not limited to police experience. Two of the cities had civilian planning directors, and their experience was in the realm of administrative or systems analysis. In fact, the Chief in City D stated that he would prefer a mixture of sworn and civilian talent in his planning staff. The sworn staff provide the "operational knowledge," while the civilian personnel contribute their knowledge of administrative and systems analysis. This is exactly the case in City A. The third factor was personality. The chiefs felt that the planning staff must be tactful and have the ability to work with and/or around the various personalities in the command and supervisory staff in order to solicit ideas and assistance in the implementation of various projects or policy changes.

Three of the chiefs (Cities A, C and E) felt that their planning units were very effective and were quite happy with the operation of their units. The chiefs primarily used the amount of positive change which had been

brought about by the planning units' activities as the measurement of effectiveness. The methods utilized by the various planning units varied from changes in administrative and operational policies (City A), to extensive use of federal grant money (City C), to basic problem solving (City E). In City A, the chief would like to improve the units long range planning capability, and also their diagnostic ability. The former is not possible without the assignment of additional personnel, the latter requires additional training which the Chief is trying to arrange. In City E, the only difficulty that the Chief has with the planning unit is that it lacks a "self-starting" capability. In other words, the unit waits for assignments, it does not actively seek new concepts to explore or engage in any independent research studies. In City B, the Deputy Chief (the chief was ill) stated that the Research and Planning Section had not been very effective. He reasoned that this was the result of several factors, including:

A. Lack of definition of the Planning Unit's responsibilities, which created difficulties for both planning personnel and department administrators in understanding the functions of the unit.

B. Lack of use by the department administration, which was caused in part by a lack of understanding of the planning function and also, in part, by a desire on the

part of the administrators to entirely control their own divisions without accepting ideas or assistance from staff units such as planning.

C. Lack of either training or research background on the part of the planning staff.

He did state that he would be utilizing the planning unit's capabilities with greater frequency, and that he was trying to arrange for some specialized training for the planning unit staff. The chief in City D had not been on the job long enough to evaluate the effectiveness of the planning unit.

One area in which the various chiefs differed considerably was goal setting. In City A, the major goals were set by the I.A.C.P. study of 1969. The chief and his command staff, including the Planning Unit, had developed a couple of goals based upon their analysis of the city's law enforcement problems. In City B, the chief and deputy chief set the goals of the department after reviewing various L.E.A.A. publications and after drawing upon their own knowledge of the city's problems. In City C, the chief developed the department's goals on his own. The chief in City D believes in unit goal setting, with a final review by the planning staff. The chief, the assistant chiefs, the Planning Director and the Director of Public Safety in City E developed a five year plan based upon their analysis

of the city's law enforcement needs. This plan is reviewed and updated annually. In the researcher's opinion, a combination of cities A, D and E's approaches to goal setting would be the optimum. City A relies on an impartial party for recommendations regarding the operation of the department. City D requires each unit in the department to do some planning on their own and to justify their existence. City E adds the input from an elected city official (the Public Safety Commissioner) and thereby receives an insight into the expectations of city government.

Another area of difference, was the amount of communication between the chief and the planning staff. This ranged from daily conferences in City A, to only occasional contacts in City B. The other cities varied between these extremes. The chief in City A thought that it was important for the planning staff to have intimate knowledge of the administrative concerns of the department.

#### Command Officers' Interview Results

Most of the division and bureau commanders in each of the sample departments were interviewed by the researcher. The interviews were structured to obtain the respondents' opinions primarily regarding:

A. The value of a Research and Planning Unit.

B. The Research and Planning Unit's affect upon the internal operation of the police department.

C. The perceived effectiveness of the Planning Unit.

D. Possible means of improving the Research and Planning Unit's performance.

The vast majority of the command officers were of the opinion that a Research and Planning Unit was a necessary and valuable factor in the operation of the police department. These officers did present a variety of reasons for holding this opinion. In City A, for example, the Research and Planning Unit is primarily considered to be an administrative resource center. They have aided the Patrol Division primarily by conducting a beat configuration study, and are actively involved in crime and traffic analysis. These activities aid the patrol division commanders in planning their response to the crime and traffic problems of the city. The Services Division has received Research and Planning assistance in the improvement of the department's Communications Center and in the implementation of computer assisted record keeping. These projects and the development of a regional training academy have been accomplished with the aid of federal grants. The Research and Planning Unit prepares and submits all grant applications, thereby relieving command personnel of becoming involved with grantsmanship. Grantsmanship is defined as the development and negotiation of federal grant applications.



The Research and Planning Unit in City B has had less effect upon the operation of the department than the unit in City A. The unit has assisted the Patrol Division by conducting a manpower allocation study, which was primarily concerned with the division of manpower among the various shifts. They also investigated for the Patrol Division, the use of prisoner security screens for patrol vehicles. The Planning unit was again active in setting uniform specifications. The Services and Investigative Divisions view the Planning Unit as a source of information on innovative projects being tried in other departments across the nation. Both of the division commanders were of the opinion that Research and Planning Unit had not been very effective in their information gathering in recent years. The Investigative Division commander, especially, felt that the Research and Planning Unit should have on hand information on virtually every aspect of innovative law enforcement just waiting for this particular commander to ask for it.

In City C, all of the command officers viewed the Research and Planning Unit solely as a funding source. Virtually all the commanders discussed only the ways in which planning had obtained federal funds for this project or that project. It should be noted that at the time of this research, City C had more than twenty-five L.E.A.A. sponsored projects in operation.

The commanders in City D felt that the primary value of the Research and Planning unit was the coordination of the planning activity of the individual units within the department, and also the development of emergency contingency plans. The opinion of most of the command officers was expressed by the Records Bureau commander. He said that the purpose of the Planning Unit was: to polish ideas generated within the individual department unit, to draft general orders for the department's administration, and to serve as a coordinating unit for plans made in other areas of the department.

There was a considerable difference of opinion between the bureau commanders and division commanders in City E. The bureau commanders generally felt that the Research and Planning Unit was most useful for coordination of department operations and the ability to study each unit's activities objectively. The division commanders were more interested in the Research and Planning Unit's ability to evaluate programs, complete internal audits of departmental procedures, and its ability to provide more complete information to aid in administrative decision making.

In the opinion of the command officers, the Research and Planning Unit had a variable effect upon the internal operation of the police department. In cities A and C, the Planning Unit had, for differing reasons, a major impact upon the operation of the police department. In City A,

the impact was a result of the trust placed in the Planning Unit by the Chief and other top department administrators. The Planning Unit was an integral part of the administrative staff, and having an equal voice in the administrative decision making process, its services were sought on a daily basis. However, in City C, the only way in which the Planning Unit affected the operation of the department was by obtaining federal funds for special projects--over twenty-five active grants. As stated previously, this unit was viewed only as a source for funding; it was only rarely involved in the administrative decision making process. There were only marginal similarities among the other three departments with regard to their impact on the department. In City B, the planning unit has had little impact on the operation of the department in recent years, with two of three division commanders (Services and Investigations) having little use for the unit. This has not always been the case. The unit has been responsible for obtaining (with federal funds) a helicopter, a computer system and has improved in-service training. In City D, the Research and Planning Unit has been primarily active in the area of developing department-wide policy, and coordinating the planning activities of the various units. The Planning Unit has more involvement with the division commanders than with the bureau or unit commanders. The Research and Planning Unit in City E has little direct

involvement with the bureau commanders. They are, however, heavily involved with the division commanders. This impact is felt, for the most part, by providing the administration with both the pros and cons of many operational and procedural problems. The division commanders said that the Planning Unit's recommendations provided the basis for many administrative decisions.

There was a marked disagreement over the effectiveness of the Planning Unit. The differences were not so much between the individual police departments, but between the command levels within the departments. The division commanders, with few exceptions, felt that the Planning Unit was as effective as could be expected with the existing manpower shortage. Their opinions were based upon the assistance that they received from the Planning Unit. The bureau commanders were not nearly as uniform in their opinions. Many of the bureau commanders felt that the Research and Planning Unit should be more concerned with long-range planning; they should be "less crisis oriented and do less 'firefighting'".<sup>23</sup> Others felt that the Planning Unit personnel were not familiar enough with the day to day operation of their bureaus to provide any kind of useful assistance.

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<sup>23</sup> Command Officer, City D.

Several suggestions were offered by the command officers for improving the operation of the Research and Planning Unit. The most common suggestion was to increase the size of the Planning Unit. As previously stated, the reasoning for requesting manpower increases for the Planning Unit were many and varied. It was also suggested that planning personnel become more thoroughly acquainted with a particular unit's difficulties through first hand observation, i.e., temporary assignment of Planning personnel to these units, or temporary assignment of operational personnel to the Planning Unit. Another frequent suggestion was to improve the level of planning expertise within the individual Planning Units, either through increased training for unit personnel, or through the hiring of personnel specifically trained in systems analysis or other related fields. Many of the command officers felt that formal educational development is more important for Planning personnel than police experience.

#### Operational Interviews

Several operational personnel - patrol officers and detectives - were interviewed in each of the departments visited by the researcher. The purpose of these interviews was the same as that stated for the command officers. The majority of those interviewed had little knowledge of the functioning of the Research and Planning Unit. A second

point of concurrence is that most operational personnel had little contact with the Planning Unit. There were a few suggestions made to improve the effectiveness of the Planning Unit. Operational personnel in City A suggested that Planning Unit personnel should occasionally be assigned to the operational divisions in order to gain a better understanding of that division's problems. In City C, the suggestion was made to expand the function of the Planning Unit beyond the development of grant applications. They also felt that a larger number of departmental personnel should be involved in the planning process.

#### Interview Summary

The following set of tables compares the sample cities with the motivational and supportive relationship discussed in the literature.

#### MOTIVATION

|                                                  | City A | City B | City C | City D | City E |
|--------------------------------------------------|--------|--------|--------|--------|--------|
| a. Men interested in their jobs                  | yes    | yes    | yes    | yes    | yes    |
| b. Men feel that they and their job is important | yes    | yes    | yes    | yes    | yes    |
| c. Feel informed about things vital to them      | yes    | no     | yes    | no     | no     |
| d. Feels supervisors are considerate             | yes    | no     | yes    | ?      | no     |

MOTIVATION (cont.)

|                                           | A    | B    | C    | D    | E    |
|-------------------------------------------|------|------|------|------|------|
|                                           | City | City | City | City | City |
| e. Develop active and effective teamwork  | yes  | yes  | yes  | ?    | yes  |
| f. Are efficient, creative and productive | yes  | no   | yes  | yes  | yes  |

SUPPORTIVE RELATIONSHIPS

a. Does the chief seek recommendations from the Planning Unit on the following items.

|                                                    |     |     |     |     |     |
|----------------------------------------------------|-----|-----|-----|-----|-----|
| 1. Forms control/development                       | yes | no  | no  | yes | no  |
| 2. Personnel matters-creation or deletion of ranks | yes | no  | no  | no  | no  |
| 3. Organizational alignment                        | yes | no  | no  | no  | no  |
| 4. Equipment acquisition                           | yes | no  | yes | no  | yes |
| 5. Budget                                          | yes | yes | yes | yes | yes |
| 6. Manpower Allocation                             | yes | yes | no  | no  | yes |
| 7. Operational policies                            | yes | yes | yes | yes | yes |
| 8. Strategic policy                                | yes | yes | yes | yes | yes |

b. Do other top department administrators request advice/recommendations on the following areas.

|                                                    |     |     |     |     |    |
|----------------------------------------------------|-----|-----|-----|-----|----|
| 1. Forms control/development                       | yes | no  | no  | no  | no |
| 2. Personnel matters-creation or deletion of ranks | no  | no  | no  | no  | no |
| 3. Organizational alignment                        | no  | no  | yes | no  | no |
| 4. Equipment acquisition                           | yes | no  | yes | no  | no |
| 5. Budget                                          | yes | no  | no  | no  | no |
| 6. Manpower allocation                             | yes | yes | no  | no  | no |
| 7. Operational policy                              | yes | no  | no  | no  | no |
| 8. Departmental policy                             | yes | no  | yes | yes | no |

c. Does the department administration generally accept the planning unit's recommendation.

|     |     |     |    |     |
|-----|-----|-----|----|-----|
| yes | yes | yes | no | yes |
|-----|-----|-----|----|-----|

| SUPPORTIVE RELATIONSHIPS (cont.)                                   | A    | B    | C    | D    | E     |
|--------------------------------------------------------------------|------|------|------|------|-------|
|                                                                    | City | City | City | City | City  |
| d. Does the chief hold staff meetings on a regular basis           | yes  | yes  | yes  | yes  | yes   |
| e. Is Research and Planning represented at staff meetings          |      |      |      |      |       |
| 1. All of them                                                     | yes  | -    | -    | -    | -     |
| 2. Most of them                                                    | -    | -    | -    | -    | -     |
| 3. Some of them                                                    | -    | -    | yes  | -    | -     |
| 4. Not usually                                                     | -    | yes  | -    | yes  | yes   |
| f. Is Research and Planning free to start projects on its own.     | yes  | no   | yes  | yes  | yes   |
| g. Does the chief delegate his planning responsibility             | yes  | no   | ?    | yes  | ?     |
| h. Are any of these attitudes apparent in planning personnel.      |      |      |      |      |       |
| 1. Apathy                                                          | no   | no   | no   | yes  | no    |
| 2. Lethargy                                                        | no   | no   | no   | no   | no    |
| 3. Inertia                                                         | no   | yes  | no   | no   | yes   |
| 4. Tyranny                                                         | no   | yes  | no   | no   | yes   |
| 5. Complacency                                                     | no   | no   | yes  | no   | yes   |
| i. Are any of these attitudes apparent in administrative personnel |      |      |      |      |       |
| 1. Apathy                                                          | no   | no   | yes  | no   | yes   |
| 2. Lethargy                                                        | no   | no   | yes  | no   | yes   |
| 3. Inertia                                                         | no   | yes  | no   | no   | yes   |
| 4. Tyranny                                                         | no   | yes  | no   | no   | yes   |
| 5. Complacency                                                     | no   | no   | yes  | no   | yes   |
| j. Does Research and Planning have a budget                        | yes  | no   | yes  | yes  | no    |
| k. Is Research and Planning a necessary function of police         |      |      |      |      |       |
| 1. Patrol command                                                  | yes  | yes  | yes  | yes  | yes   |
| 2. Investigative command                                           | yes  | yes  | yes  | yes  | yes   |
| 3. Services command                                                | yes  | yes  | yes  | yes  | yes   |
| 4. Patrol operations                                               | yes  | no   | yes  | yes  | maybe |
| 5. Investigative operations                                        | yes  | no   | yes  | yes  | maybe |



## SUPPORTIVE RELATIONSHIPS (cont.)

|                                                                           | City A | City B | City C | City D | City E |
|---------------------------------------------------------------------------|--------|--------|--------|--------|--------|
| 1. Suggestions for improvement                                            |        |        |        |        |        |
| 1. More personnel                                                         | yes    | yes    | yes    | yes    | yes    |
| 2. Develop long range capability                                          | yes    |        | yes    |        |        |
| 3. Better qualified personnel                                             | yes    | yes    | yes    |        | yes    |
| 4. Occasional operational experience (refresher)                          | yes    | yes    |        |        |        |
| 5. More independent                                                       | yes    |        |        |        | yes    |
| 6. Training for planning                                                  | yes    | yes    |        | yes    | yes    |
| 7. Job description and procedures                                         |        | yes    |        | yes    | yes    |
| 8. Larger budget                                                          |        |        | yes    | yes    |        |
| 9. More command involvement                                               |        |        | yes    | yes    | yes    |
| m. How are ideas sent to Research and Planning                            |        |        |        |        |        |
| 1. Through chain of command                                               | yes    | yes    | yes    | yes    |        |
| 2. Personal discussion                                                    | yes    | no     | yes    |        | yes    |
| 3. Memo                                                                   | yes    | no     | yes    | yes    | yes    |
| n. Did you find it hard to get used to working with Research and Planning | no     | yes    | no     | no     | yes    |

## Chapter 5

### SUMMARY AND CONCLUSIONS

As stated in the explanation of the research design, one objective of this study was to describe the "state of the art" of research and planning units in medium-sized police departments. A second objective was to compare the reality of police planning with the recommendations made in the relevant literature. The third objective was to develop a set of model guidelines designed to improve the effectiveness of research and planning units.

With regard to the "state of the art," the development of research and planning units in medium-sized police departments is a recent phenomenon. Only one of the five sample agencies (City D) had a planning unit that was more than five years old. There were a surprising number of law enforcement agencies that met the researcher's parameters for inclusion in this study, except that they had not implemented a research and planning unit. This situation could be the result of several factors, among them a lack of knowledge on the part of the respective chiefs of the value of such a unit, or possibly because of budgetary

limitations. This, however, is beyond the scope of this study and could be the object of further research. A second observation is that there are very few areas of similarity among the sample agencies with regard to the operation of the research and planning units. The following are examples of the few similarities that do exist. The research and planning unit is generally considered part of the administrative staff and is directly responsible to the chief. Another similarity among the sample planning units is that the staff is generally quite young in relation to the chief and command level personnel. Planning unit staff typically either hold or are close to obtaining a baccalaureate degree. In contrast, the majority of the chiefs and command officers had little, if any, college level education. This presents a major hurdle for many planning units, because they must first educate their department's administration in the principles of modern administration. A final observation regarding the "state of the art" is that there is very little long-range planning done in the sample cities. The exception to this is City E with its five year plan, which encompasses the majority of the department's operations. Most of the planning units were kept very busy with administrative "fire-fighting." That is, they are continually developing some sort of short-range response to departmental problems. Examples of this "fire-

fighting" are crime analysis, changes of shift hours, and preparation of administrative reports. Planning personnel should be instrumental in the development of these on-going activities, but should not be expected to perform them on a continuing basis.

With the exception of City A, there was little comparison between the activities of the planning units in the sample cities and the recommendations made in the literature.

The following chart lists recommendations made in the literature and indicates the degree of compliance for each sample city.

#### RECOMMENDATION

|                                                                         | Cities   |          |            |          |            |
|-------------------------------------------------------------------------|----------|----------|------------|----------|------------|
|                                                                         | <u>A</u> | <u>B</u> | <u>C</u>   | <u>D</u> | <u>E</u>   |
| a. Has the department developed a planning policy statement?            | yes      | no       | no         | yes      | no         |
| b. Have the planning unit responsibilities been defined?                | yes      | no       | no         | yes      | yes/<br>no |
| c. Does the department employ a democratic model for planning?          | yes      | no       | no         | no       | no         |
| d. Does the planning unit serve as a resource center for unit planning? | yes      | no       | no         | yes      | yes        |
| e. Has the chief taken the planning unit into his confidence?           | yes      | no       | yes/<br>no | no       | yes/<br>no |

## RECOMMENDATIONS (cont.)

|                                                                                              | Cities     |          |          |          |          |
|----------------------------------------------------------------------------------------------|------------|----------|----------|----------|----------|
|                                                                                              | <u>A</u>   | <u>B</u> | <u>C</u> | <u>D</u> | <u>E</u> |
| f. Does the chief encourage creativity?                                                      | yes        | no       | no       | yes      | yes      |
| g. Has the chief taken the lead in conducting a realistic evaluation of existing operations? | yes        | no       | no       | yes      | yes      |
| h. Has the agency established a set of objectives?                                           | yes/<br>no | no       | yes      | yes      | yes      |
| i. Has operational planning been encouraged throughout the department?                       | no         | no       | no       | yes      | yes      |

In the opinion of this researcher, the departments which have been most successful in implementing planned changes are also the ones that come closest to meeting the recommendations made in the literature. It is not known how these departments began the development of their planning units, or whether they sought the advice of experts in the development of their organizational planning. It does, however, suggest that the recommendations made in the relevant professional literature are applicable to medium-sized police departments.

As it was previously defined, an effective research and planning unit is one which produces progress toward the desired goal of planned change, or in short, a "change

agent."<sup>24</sup> Of the five planning units examined in this report, four were effective to a certain extent. They are, in the opinion of the researcher, ranked as follows:

City A. City A is the most effective. It has earned the confidence of the chief and division commanders, and is instrumental in the development and administration of the department's budget. The planning unit has also been active in virtually all areas of the department from manpower allocation and beat design, to equipment evaluations and the development of a management information system. The unit has not been very successful in developing planning capabilities in other units in the department, nor has it been successful in the development of a long-range planning capability. Both the chief and the director of research and planning recognize these problems, and hope to improve in these areas if their budget will allow.

City D. City D and the second most effective planning unit. While the impact of the new chief has not been felt in many areas of the department, it is known that he favors the unit planning concept and considers the research and planning unit the coordinator of the individual unit planning activities. This research and planning unit

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<sup>24</sup>Bennis, Warren G., Benne, Kenneth D., and Chin, Robert, The Planning of Change, New York: Holt, Rinehart and Winston, Inc., 1969, p. 69.

has also been quite active in both operational and strategic planning. It did not appear to the researcher that the planning unit had had as great an impact upon its department as the planning unit in City A had had on its department. This may have been caused by the recent arrival of a new chief.

City C. City C is ranked third because of its success in obtaining federal funding for special projects, however, the planning unit has little influence upon the operation of the department beyond the conditions made on the grant money. The planning unit has not been very successful in educating the department's administration in the function of a research and planning unit.

City E. City E is rated fourth. This unit has only been in existence for two years. It has not had the opportunity to "prove itself" to many of the department's bureau commanders. It has, however, developed both a five year plan and completely revised and updated the department's operations manual. If this unit can win the confidence and support of the bureau commanders, it has the potential for being very effective.

City B. City B was, in the opinion of the researcher, a planning unit in name only. Its placement in the organizational structure effectively isolated the unit from both the operational and administrative mainstreams.

With the relevant literature and the results of this study as a base, the following recommendations are made for the development of an effective police research and planning unit. They describe the functions and responsibilities of those most directly related to the effective functioning of such a unit; the chief, research and planning staff, and command personnel.

#### The Chief

1. The chief must be committed to planning. This means that he must be willing to take the time and effort necessary to think through and explore possible alternatives to responses to departmental problems. He demonstrates his commitment in several ways, which include the development and dissemination of a written planning policy. At a minimum, this policy should include a statement of the planning unit goals, the need for continual planning and the responsibilities of the planning unit.<sup>25</sup> Another means of demonstrating his commitment to planning is by being actively involved in the process of departmental goal setting.

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<sup>25</sup> National Advisory Commission on Criminal Justice Standards and Goals, Police, U. S. Government Printing Offices, Washington, D. C., 1973, p. 118.



2. The chief must support the planning unit. He does this by delegating his planning responsibility to the unit, by providing the unit with adequate staffing and resources, by including the unit in all staff meetings, and by personally utilizing the abilities of the planning staff. He also shows his support of the planning unit by taking action based upon their recommendations and encouraging other members of the command staff to utilize the planning unit capabilities.

3. The chief must have a working knowledge of personnel motivation.<sup>26</sup> This means that he must be able to recognize and assess the motivational level of both his planning and command staff. He must also be aware of the methods available to him for increasing motivation.

4. The chief should encourage the use of a democratic model of administration, which means that he should encourage input from all levels and areas of the department. The chief does this through the use of committees and the task force approach to decision making.

#### The Research and Planning Unit

1. The Research and Planning Unit's responsibilities should include the following:

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<sup>26</sup>Russel H. Ewing, Principles of Motivation, National Institute of Leadership, Beverly Hills, Calif, 1962.

- a. Aid in the development and implementation of both short and long-range goals.
- b. Encourage the development of a planning capability within the major divisions of the department.
- c. Serve as a resource center and coordinator for the individual unit's planning.
- d. Aid the chief and command staff with the development of departmental policy.
- e. Conduct tests and evaluations of equipment.
- f. Assist in the evaluation of existing departmental operations and in the design of alternative methods.
- g. Keep abreast of new developments in law enforcement and related fields.
- h. Aid in the development of the department's budget.

2. The planning staff should have the following qualifications:

- a. An interest in and commitment to planning.
- b. An analytical and logical mind.
- c. An open personality, which will enable the staff to work with all types of people, irregardless of education, position, rank, etc.

- d. Must have imagination, good judgement, initiative, perseverance, persuasiveness and a knowledge of police administration.<sup>27</sup>
- e. An ability to assimilate large amounts of knowledge about a vast array of subjects.
- f. Training in systems analysis techniques.
- g. An ability to communicate concepts and ideas both verbally and in print.

If any of the planning staff lack the above-mentioned qualifications, an effort should be made to correct the deficiency.

3. The planning unit must develop and maintain channels of communication with all areas and levels within the department, and also with other agencies and sources of research information.

4. It appears to be immaterial as to whether the planning staff is sworn or civilian, or whether they have had prior police experience. The most important requirement is their desire to learn.

#### The Command Staff

1. They should assist the chief and the planning unit in the development of department goals.

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<sup>27</sup>Municipal Police Administration 5th Edition,  
International City Managers Association, Chicago, Illinois,  
1961, p. 86.

2. The command staff should develop a planning capability within their own divisions, always keeping in mind that any plans developed within the division must be coordinated with the overall goals of the department.

3. The command staff should freely utilize the capabilities and resources of the research and planning unit, especially as a resource center.

4. The command officers should endeavor to keep an open mind toward innovative approaches to law enforcement.

5. They should also develop and maintain channels of communications within their respective commands. They should also seek input from all levels of their commands. In addition to the particular recommendations, there are a couple of general recommendations to be made for the development of an effective research and planning unit. According to Major Keiter, commander of the Kansas City, Missouri Police Research and Planning Unit, there are three prime factors in the development of an effective research and planning unit. These factors are:

1. Departmental administration interested in moving ahead.
2. Adequate resources for the planning unit including funds to implement improvements, and a competent staff.
3. The ability of the planning unit to "sell" top management on innovative approaches to law enforcement.<sup>28</sup>

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<sup>28</sup>A personal interview, Major Keiter, Kansas City, Missouri Police Department, July, 1974.

As a final recommendation, the following quotation is offered from a 1969 I.A.C.P. organizational study of City A:

Leadership is the most important single factor in the success or failure of police operations. In observing successful agencies, we find a strong executive has been the driving force in elevating the level of performance. Conversely, where failure exists, the cause can usually be traced to incompetence in management.

Appendix A  
INTERVIEW SCHEDULES

Interview schedule for the police chief.

1. What kind of guidelines are you given from the City Manager and/or the city commission?
2. How are priorities assigned to the goals of the department?
3. What kind of procedure did you use to set these goals?
4. How does the Research and Planning unit assist in attaining these goals?
5. Do you hold regular command/staff meetings to discuss departmental problems on new projects? If so, who is invited to these meetings?
6. What criteria is used to select personnel to staff the planning and research unit? ie - seniority, education, experience.
7. What is your opinion of the effectiveness of your Research and Planning unit? What criteria do you use to evaluate this unit?
8. What would you like to do to make your research and planning unit more effective?
9. What do you consider are the most important assets of your planning unit?
10. What do you consider are the most significant deficiencies of the planning unit?
11. Are the recommendations made by the planning unit based on accurate research?
12. What do you see as the responsibilities of a research and planning unit?

Interview schedule for Research and Planning personnel.

1. What are the goals of the department?
2. How were these goals arrived at?
3. How are you involved in the preparation of the department's budget?
4. Is the Research and Planning Unit represented at all command/staff meetings?
5. What are the unit's greatest assets?
6. What are the unit's greatest liabilities?
7. What opinion does the rest of the department have of the Research and Planning Office?
8. How do you become involved in specific projects?
9. Are you involved in operational/tactical planning?
10. Have you had any specialized training in planning methods or other similar areas?
11. Do you feel that the department administration is fully committed to planning?
12. What do you see as the responsibilities of a research and planning unit?
13. How would you evaluate the effectiveness of this unit?
14. How would you improve the effectiveness of this unit?
15. How much does the Research and Planning unit effect departmental policy? What specific areas?
16. What types of projects were they?
17. How many grant applications have been developed and submitted by this unit during the past two years?
18. How many of those grant applications have been approved?
19. How many pilot projects have been continued after federal funding expired?
20. What is the budget for this office, and the department as a whole?

The following interview questions were used with:

|                        |                             |
|------------------------|-----------------------------|
| Two shift commanders   | Two detectives              |
| Two patrol supervisors | Two record bureau personnel |
| Two patrol officers    |                             |

Interview schedule for other departmental personnel.

1. How does the Research and Planning operation affect you?
2. Do you feel that the unit performs adequately? Yes No
3. How has the Research and Planning Unit brought about meaningful improvements in the Department?
4. Do you feel that Research and Planning is a necessary function of police agencies?
5. What would you suggest to improve the effectiveness of the Research and Planning Unit?
6. How do you communicate your ideas to the planning unit?
7. Did you find it hard to get used to using Research and Planning?



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