

A COMPARATIVE ANALYSIS OF
EXECUTIVE'S ROLE IN BUSINESS
AND LAW ENFORCEMENT

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A COMPARATIVE ANALYSIS OF EXECUTIVE'S ROLE IN
BUSINESS AND LAW ENFORCEMENT

By

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ABSTRACT

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by Paul Reichel Falzone

This thesis examines the basic duties of police and business executives in an effort to determine the similarities and dissimilarities of function of these positions. It is hypothesized that administrative duties and the skills necessary to perform them in a police organization, as far as the art of administration is concerned, are similar in many respects to those required in non-police organizations. The study is limited to the extent that it centers upon administrative responsibilities.

A functional model of an executive is presented and utilized as a comparative tool. It is selected for its versatility and serves as a frame of reference for studying the two executive groups. This prototype provides the basis for an analysis of the literature and field studies.

The review and analysis of the business and police literature reveal close similarities and generally support the hypothesis. Both factions describe almost identical duties as those belonging to persons serving in executive

capacities. Differences largely involve matters of terminology. The police and business literature contain identical descriptions of core duties which coincide with the model.

Eight case studies are developed and discussed. They result from interviews with four police and four business executives. The findings indicate the positions to be quite similar. The executives perform like activities in meeting the responsibilities of their respective positions. Exceptions are noted, but in all cases the reason for their being outside the discretion of the administrator involves organizational structuring and not the ability of the executive to perform in that area.

The data supports the conclusion that the administrative duties of police and business executives are very similar. The literature and case studies support the contention put forth in the hypothesis.

Further quantification and qualification of this study is strongly recommended. The author advocates the use of a more detailed model and the inclusion of additional interviews in greater depth.

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CHAPTER I

INTRODUCTION

Within any organizational setting, there exists a disparity of function between the administrative and operational levels. The tasks performed by each require different abilities and skills in the implementation of their respective responsibilities. In day to day activities, the role of the administrator is often distinct from the role of those performing operational duties. The qualifications necessary to participate successfully in an organization at the functional level are not similar to those required to participate in the same organization in an administrative position.

Essentially, the services provided to an organization by the individual members of that structure can be classified into two categories:

1. Managerial
2. Nonmanagerial¹

The managerial level is primarily responsible for arranging the resources available in a given enterprise in

¹Robert Tannenbaum, Irving R. Weschler, and Fred Massarik, Leadership and Organization (New York: McGraw-Hill Book Company, 1961), p. 243.

such a way as to achieve the common objective(s) of the organization. The basic components of the managerial function are as follows:

1. Leadership--inspiring the whole organization and carrying it forward toward the realization of objectives.
2. Organization--developing appropriate form and function for the attainment of the objectives.
3. Administration--providing the policies and methods by which objectives can be realized, and marshaling the physical and human resources.
 - a. Policy making--anticipating the future and planning for it, laying down policies for securing objectives, and modifying objectives and policies for better results.
 - b. Executive action--carrying out and interpreting the policies and dealing with the present problems and difficulties which arise from day to day.
 - c. Control--knowing that the execution is proceeding to plans and policies laid down--with a view to further policy making and planning.
4. Coordination--at all times securing harmony of action toward the objectives, through leadership, organization, and administration.²

The nonmanagerial members of the organization perform those operations needed to directly carry out the goals of the enterprise. They consist of the functions that the organization was initially created to perform. Through their realization, the fundamental organizational objectives are directly attained.³

²Mary Cushing Howard Niles, Middle Management (New York: Harper and Brothers, 1941), p. 15.

³O. W. Wilson, Police Administration (New York: First Edition, McGraw-Hill Book Company, Inc., 1950), p. 22.

The police setting. The police sphere provides no exception to the above delineation of managerial and non-managerial functions. During daily operations, the role of the police administrator is quite distinct from that of those performing operational tasks. In fact, many large metropolitan police agencies have gone to great lengths to clearly define this organizational separation.

An area of mutual concern. Police and business organizations share many similar problems. The author recognizes at the outset that goal differences exist; but, purely from an administrative point of view, there appear to be a large number of parallels.

Business enterprises are oriented toward a profit objective while police agencies stress public service. Both entities, however, possess a common interest in areas such as upgrading personnel selection, discovering means to promote efficiency, seeking ways to improve their product, be it goods or services, and developing methods to recruit, cultivate, and utilize manpower to its fullest potential. The areas of mutual interest mentioned are a few in a realm of many, but the point at hand is clear. Administratively, police departments and business establishments share many interests. In short, what may prove beneficial to one type of structure may well be a boon to them all.

There has been much said of the universality of the executive role. An analysis of this position through a

comparative study of business and police executives serves as subject matter for this thesis.

I. STATEMENT OF THE PROBLEM

Basic operations within the police frame of reference involve preventive and enforcement functions. Accompanying these basic activities are the multitude of subtasks and procedures that have no direct bearing upon executive duties. Yet, it is at this level and according to these tasks that the police field inducts and trains its members irrespective of their future potential as administrators. In effect, everyone possessing certain rudimentary qualifications is allowed to compete for a beginning position; later, the unfit are eliminated, and the qualified trained for duty. Through this method it is hoped that some recruits will possess the attributes necessary to become administrative leaders.

The thought that in order to be a good administrator one must first perform operational duties permeates the police field in the realm of promotional policies. The International City Managers' Association states:

The police administrator drawn from the ranks has the important advantage of knowledge of police techniques--a knowledge which can be acquired only by experience. . . . The administrator who has not risen from the ranks is, of course, in a more difficult position. At best he can merely select

a few trusted advisors within the force and rely upon them in forming his personal judgements. . . .⁴

The result of this philosophy is that the first few years of a police career consist of learning basic skills. All attempts are directed at making the trainee a good patrolman without consideration of his potential ability regarding leadership or managerial ability.

On the other hand, corporate and business enterprises have recognized the fact that operational and administrative functions bear no direct relationship to one another in terms of the versatility and capacities necessary to perform their respective assignments. Their view has been one of emphasizing the fact that one does not have to learn operations to the extent of a practitioner prior to becoming an administrator. Thorough familiarization with this level is all that is necessary.

This view held by many non-police organizations has resulted in the recruitment and employment of future administrators at a "junior executive" level. The first few years of a new career are spent following a pre-planned program specifically designed to develop administrative ability. Time is not wasted to any great extent learning fundamental chores. Thus, the organization is assured a pool of manpower from which they may draw as the need arises.

⁴The Institute for Training in Municipal Administration, Municipal Police Administration (Chicago: Fifth Edition, The International City Managers' Association, Publisher, 1961), p. 77.

Most police organizations begin management training with promotion, and the personnel involved are expected to make a radical shift from an operational capacity to one administrative in nature without any real preparation.

These divergent views lie at the heart of the problem. There appears to be a real need for an executive training program parallel to those that exist in the business world within the police realm, but this contention is only useful if the executive's role is analogous in business and police organizations.

Key hypothesis to be investigated. It is hypothesized that administrative duties and the skills necessary to perform them in a police organization, as far as the art of administration is concerned, are similar in many respects to those required in non-police organizations.

The thought to compile this thesis along this line occurred while reviewing the text Police Executive Development. In its pages Germann states:

In recent years there has been great progress in the development of executive talent in the world of business and industry--but almost no attention given to this matter in the sphere of law enforcement.

The demand of modern business for large numbers of skilled administrators and for individuals of outstanding executive talent is increasingly pressing.

. . . An examination of business and industry discloses that they have found a distinct solution to

this problem--a solution which in great measure, can be applied within police agencies.⁵

The author pondered the question pertaining to the applicability of business and industrial methods of administrative development to police organizations. This study compares the positions of executives in both police and non-police agencies on a functional basis in an effort to determine whether or not the corporate approach to executive development would, in the final analysis, be applicable to police organizations.

Methodology. The thesis compares the positions of executives selected from both police agencies and organizations engaged in private enterprise. Executives from both factions were analyzed in order that similarities and dissimilarities of function could be discovered between them.

1. A functional model of an executive is constructed and presented in Chapter II;
2. Next, the model is tested for accuracy through a selective review and analysis of the literature available;
3. Case studies are prepared comparing police and non-police executives in relation to the model;
4. Finally, an analysis of the contention stated in the hypothesis is offered utilizing a literature review and case study approach.

The study is limited to the extent that it is concerned only with the administrative context in which each executive

⁵A. C. Germann, Police Executive Development (Springfield: Charles C Thomas, Publisher, 1962), pp. 4-8.

functions. Organizational and goal differences are deleted. The author compares executives from an administrative frame of reference only.

II. IMPORTANCE OF THE STUDY

Most police agencies are of a size which require the department head (chief of police) to establish a chain of command and delegate responsibilities to other members of the organization who, in turn, assist him in an administrative capacity. Often, important duties are assigned to individuals in this manner. Thus, it becomes important to identify these duties along with the skills needed to perform them so that, in the light of their content, individuals can be promoted who are best able to carry on the responsibilities entailed.

The International City Managers' Association, in its text Municipal Police Administration, states:

It is in this area of administration that the American police find their greatest need. The police field has untold numbers of expert policemen--men who can patrol, investigate, and enforce with the greatest degree of understanding and proficiency, but there is a lack of men who can satisfactorily control and direct these policemen toward the organizational objectives.⁶

Day sums the situation up equally well and points to the importance of this subject area in the following quotation: "The police administrator deficient in administrative

⁶The Institute for Training in Municipal Administration, op. cit., p. 76.

skills, though an excellent policeman, more often than not fails in his cardinal role as a leader . . .".⁷

Research within this frame of reference is of value in illuminating problems encountered in developing future police executives.

III. DEFINITION OF TERM EXECUTIVE

Executive. This term, as used throughout the study, refers to "people who are responsible for the performance of a total organization or for important segments or activities of it."⁸ The words administrator and top administrator are used interchangeably with the term executive and carry the same connotation throughout the study.⁹

IV. ORGANIZATION OF THE REMAINDER OF THE THESIS

Chapter II consists of a functional model defining an executive. It was chosen for its versatility and is designed to serve as a guide for comparing police and non-police executives on an administrative basis.

Chapter III contains a review and analysis of the literature, and it serves to test the model.

⁷Frank D. Day, "Police Administrative Training," The Journal of Criminal Law, Criminology, and Police Science, 47:254 (July-August, 1956).

⁸Carroll L. Shartle, Executive Performance and Leadership (Englewood Cliffs: Prentice-Hall, Inc., 1961), p. 3.

⁹See Chapter II for a complete functional definition.

Chapter IV contains case studies conducted for purposes of comparing police and business executives, and presents empirical data discovered during the course of the study. It also serves to test the model and the hypothesis investigated.

Chapter V serves to summarize the information discovered in conducting the research, and offers concluding statements with regard to: (1) the applicability of the hypothesis to the model, (2) data discovered in the literature and case studies, and (3) the need for further study.

CHAPTER II

A FUNCTIONAL MODEL OF AN EXECUTIVE

In order to assure accuracy in the comparison of like positions within unrelated organizations, a functional basis must be utilized. This is necessary because position titles often bear no direct relation to tasks and responsibilities performed by personnel in these classifications.

Sweeney, Davy, and Short in their text, Education for Administrative Careers in Government Service, provide, as they indicate, "criteria for identifying administrative policy making positions." They characterize executives by function as follows:

1. He bears primary responsibility in the planning of the programs and activities of his agency or jurisdiction;
2. He has an effective voice in the development of the budget of his agency or jurisdiction;
3. He exercises appointing authority or advises on appointments to activities under his direction;
4. He is responsible for administrative policies and systems that are essential to the accomplishment of the major purpose of the parent agency or jurisdiction;
5. He is responsible for the direction and general supervision of a significant amount of the manpower resource involved in the programs of the parent agency or jurisdiction. Some of his subordinates perform important discretionary duties, and others perform routine duties;

6. He is recognized by the executive officer, and the legislative body, and in small and medium sized municipalities by the general public, as responsible for a major activity, whether it be staff, managerial, or line, and is expected to provide administrative leadership for this activity;
7. The adequacy of performance of his subordinates is as much affected by his concern for administrative matters (budget, recruitment, selection and training of personnel, organization and procedures, etc.) as by his concern for the substantive and technical problems of the activity for which he is responsible.¹

At this point, the author would like to call the reader's attention to the versatility and adaptability of the above model. Note its ability to universally apply to any organization of any consequence.

¹Stephen B. Sweeney, Thomas J. Davy, and Lloyd M. Short, Education for Administrative Careers in Government Service (Philadelphia: University of Pennsylvania Press, 1958), pp. 13-14.

CHAPTER III

REVIEW AND ANALYSIS OF THE LITERATURE

A. The Functions of the Police Executive

This portion of this chapter is devoted to reviewing and analyzing the available police literature pertaining to the functions of the police executive. There is a limited amount of literature making use of a functional approach in describing the police executive's position. Little research has been done in this realm, and what writings are available appear to be traditional and non-descriptive (from a job description point of view) in nature.

The Institute for Training in Municipal Administration, V. A. Leonard, O. W. Wilson, G. D. Gourley, and John P. Kenney have written on the subject. The remainder of this section will be devoted to a review of their works.

The functions. In their text, Municipal Police Administration, the International City Managers' Association offers a relatively simplistic definition of police administration. They view it as "the job of the chief of police or any other officer charged with the operation of a department or an immediate segment within the department."¹

¹The Institute for Training in Municipal Administration, op. cit., p. 4.

Functionally, his job is seen as consisting of four integral parts:

1. Planning
2. Organization
3. Direction
4. External Relations²

However, the error of such a simple overview was soon realized and a few chapters later in the same text a more complete list of the "major administrative functions" appears. The expanded list reads as follows:

1. Planning
2. Organization
3. Staffing
4. Training
5. Budgeting
6. Equipment
7. Coordination
8. Public Information
9. Reporting
10. Directing³

Gourley, quoting Henry Fayol, utilizes essentially the same approach in defining police management. Delete the items termed equipment, training, and public information from the above list, and the two approaches become relatively

²Ibid.

³Ibid., p. 78.

identical. For purposes of clarification the list appears below:

1. Planning
2. Organizing
3. Staffing
4. Directing
5. Coordinating
6. Reporting
7. Budgeting⁴

The remainder of this section will be devoted to explaining the chief police executive's role in relation to the previously mentioned principles of management.

Planning. Most authors in the police field seem to agree that planning, particularly from an administrative point of view, is the responsibility of the chief of police. Ultimate accountability for the effective or ineffective functioning of the organization remains his also. Reduced to basic terms, "the chief of police is responsible for administering the police department."⁵ The mayor, city council or city manager (administrator) delegates the performance of the police function within the framework of the

⁴G. Douglas Gourley, "What is Police Management," Police, 3:34 (May-June, 1959).

⁵John P. Kenney, Police Management Planning (Springfield: Charles C Thomas, Publisher, 1959), p. 11.

government to him because, "he is the expert in police administration."⁶

Accordingly, one of the first concerns of a police chief consists of planning the work to be accomplished by his department. The International City Managers' Association states:

. . . Planning, in one form or another, is the very essence of administration, and the man without foresight is out of place at the head of any administrative unit.⁷

Wilson concurs and provides support in writing:

Once the administrator has made his preliminary study of policies, functions, duties, and practices and has made some determination of the need for specialization, he must plan his organization structure. . . .⁸

He places responsibility for planning directly upon the chief.

Police objectives are attained by planning, directing, and controlling; the ultimate responsibility for the successful performance of these functions rests with the chief.⁹

Gourley also agrees and writes: "Just as in other phases of police work, the chief retains ultimate responsibility for planning. . . ."¹⁰

⁶Ibid.

⁷The Institute for Training in Municipal Administration, op. cit., pp. 4-5.

⁸O. W. Wilson, Police Administration (New York: Second Edition, McGraw-Hill Book Company, 1963), p. 46.

⁹Ibid., p. 109.

¹⁰G. Douglas Gourley, op. cit., p. 35.

Kenney offers by far the most complete treatment of the planning responsibility of the chief of police. He refers to administrative planning as being directly chargeable to the office of chief of police. Administrative planning is defined as:

. . . A cumulative and continuous process. Very broadly it includes establishing goals and purposes, designing operating policy to achieve them, and introducing control measures which insure that policy is being followed. . . .¹¹

Professor Kenney further believes that city and county administrative officials (city managers, city council members, county supervisors, etc.) share in the planning process with the chief of police. Their participation usually intervenes at the policy making level and encompasses a general outlook. Detailed operational and intradepartmental plans are left to the chief police administrator and his staff. However, the chief police official assists the governmental officials in their role. The precise relationship is as follows:

The bulk of administrative planning for the police department is the responsibility of the chief of police. He is the 'expert' in police management and, within the framework of guidelines provided him, he must accomplish the job. In order to do this he must develop departmental plans which prescribe internal policy, organization, operations, and programs.¹²

¹¹John P. Kenney, op. cit., p. 12.

¹²Ibid., p. 13.

There is no doubt that the planning function is important to the chief of police. Success in his organization enhances his prestige, and failure detracts from it. It is up to the chief to assess his department's strengths and weaknesses. Only he can assume responsibility for deciding between a multitude of organizational, administrative, and operational alternatives. Planning can provide a good deal of help to the chief executive in choosing the best alternatives available.¹³

Organization. The chief police executive is located at the top of the organizational hierarchy. From this vantage point, he looks down upon the remainder of the organization, and he is responsible for structuring it in order to facilitate the accomplishment of primary police objectives to the greatest degree possible. It is relatively impossible for the police chief executive to perform all duties required of his department himself. A small police department containing a single individual would, of course, be an exception; but, in any department of any consequence, organizational structuring is necessary. Then, it becomes "imperative that the police chief executive delegate some of his powers, responsibilities, and duties to others. . . ."¹⁴

¹³View expressed by R. E. McDonell, Industry Operations Analyst for Law Enforcement, International Business Machines Corporation, at the Police Planning and Research Institute, Oakland, California, May, 1964.

¹⁴V. A. Leonard, Police Organization and Management (Brooklyn: The Foundation Press, Inc., 1964), p. 61.

The manner in which this is accomplished dictates the effectiveness and efficiency of the department to a large extent. Kenney points out that, "Organization is the key to successful police operation. . . ."15

Leonard dwells at length upon the organization of the executive. He emphasizes the process of delegation allowing the chief police executive to confine his activity to general managerial, administrative, and control duties. Thus, the executive is forced to systematically structure a wide array of departmental elements:

Such arrangement has for its main purpose the extension in reach of the executive in order to facilitate the accomplishment of the tasks assigned to him. . . .16

Wilson provides sustenance to the above concept in his text:

The purpose of organization is to simplify the direction, coordination, and control of members of the force so that the objectives of the department may be gained easily, effectively, and satisfactorily. . . .17

Functionally, organizing consists of many facets. Traditionally, the chief police executive is concerned with organizational structuring through:

1. Dividing work according to purpose, process, clientele, time, and area.

¹⁵John P. Kenney, op. cit., p. 37.

¹⁶V. A. Leonard, op. cit., p. 61.

¹⁷O. W. Wilson, op. cit., p. 63.

2. Establishing lines of responsibility (a chain of command).
3. Delineating span of control.
4. Maintaining unity of command.
5. Granting authority commensurate with responsibility.
6. Providing staff and/or functional supervision.¹⁸

Kenney holds that the duties of the top police executive entail more than the mere creation of a departmental structure. He states:

. . . There are many aspects of police organization. It is not simply the creation of the departmental structure; it involves considering what is to be done, who is to do it, and how all aspects of the work are to be related to each other. Fundamentally, organization consists of a set of relationships of things to things, jobs to jobs, people to people, groups to groups, and processes to processes. Organization is a structure, a network of such relationships. . . . Since people are involved, organization is dynamic and is ever changing.¹⁹

Thus, Kenney visualizes the role of the police executive as making changes by decision within the scope of the definition offered above.

The International City Managers' Association views a good administrator (organizer) as:

. . . Able to organize men and materials to meet current needs and to establish administrative machinery that will produce satisfactory results with speed, accuracy, and a minimum of friction and waste . . .²⁰

¹⁸G. Douglas Gourley, op. cit., pp. 35-36.

¹⁹John P. Kenney, op. cit., pp. 37-38.

²⁰The Institute for Training in Municipal Administration, op. cit., p. 5.

Little is mentioned as to the methodology involved in achieving such a goal.

Directing. This phase of the administrative process involves implementing decisions previously made. It also includes the varied methods utilized to effectuate the decisions; included are orders, instructions, memoranda, bulletins, and manuals.²¹ "It is the final step in administration--that is, telling and showing what is to be done."²²

The International City Managers' Association divides this administrative function into three integral components: (1) command (described in the preceding paragraph), (2) coordination, and (3) control.

Coordination refers to appraising the organization and its personnel in order to find out what adaptations or changes may be requisite to harmonizing organizational elements.²³

Coordination affects two or more (organizational elements) who must work in unison and who are usually on an equal level of authority and sometimes under a different immediate command . . .²⁴

Administratively, coordination:

Demands skill in devising procedures to induce cooperation and to eliminate friction. In the final

²¹G. Douglas Gourley, "What is Police Management," Police, 3:60 (July-August, 1959).

²²The Institute for Training in Municipal Administration, op. cit., p. 118.

²³Ibid., p. 6.

²⁴O. W. Wilson, op. cit., pp. 71-72.

analysis, it rests upon the diplomacy and tact of the police administrator.²⁵

Control, "is a composite of the techniques used by the chief of police and his staff officers to determine whether departmental objectives are being efficiently achieved in accordance with stated policy."²⁶ In effect, control methods are, "tools by which the police administrator is assured that his direction of the department is effective. . . ." ²⁷ They are used as a check to see if prescribed policy is being adhered to in the operation of the department by subordinate personnel. Gourley writes: "Control, as well as command, is necessary to efficiently direct the activities of a police agency."²⁸

Staffing. This concept refers to the responsibility of the chief police executive for seeing that only personnel of the highest caliber are employed within the department. The agency head is accountable for maintaining a good personnel program capable of attracting men of ability. The existent personnel policies must also be able to hold these people on the force as content employees.²⁹

²⁵The Institute for Training in Municipal Administration, op. cit., p. 6.

²⁶John P. Kenney, op. cit., p. 123.

²⁷The Institute for Training in Municipal Administration, op. cit., p. 6.

²⁸G. Douglas Gourley, op. cit., pp. 60-61.

²⁹The Institute for Training in Municipal Administration, op. cit., pp. 86-87.

Coordinating. This topic is discussed under the heading of directing, as it is viewed by the literature reviewed here as an integral part of the direction process.³⁰

Reporting. Information concerning departmental operations and related matters should be available to both superiors and subordinates of the chief police executive. Gourley refers to the obligation of the executive to do this, and also to his responsibility for creating communication channels up, down, and across the organizational structure at all levels in the hierarchy.³¹

The International City Managers' Association defines administrative reporting simply as, "The communication of information necessary for the efficient management of the organization."³² In their view, the responsibility for seeing that information and understanding ascends or descends the chain of command rests squarely with the chief executive of the police agency. Also, communication lines with other agencies, both police and non-police, must be established. This too is the responsibility of the police executive.³³

Kenney adds support to the above beliefs, "They (records) are also important for the control of the total

³⁰ See pages 21-22 for discussion.

³¹ G. Douglas Gourley, op. cit., p. 61.

³² The Institute for Training in Municipal Administration, op. cit., p. 116.

³³ Ibid., pp. 116-118.

operation of the department by the chief of police."³⁴ In essence, records are the means used to gain the ends outlined above in this section.

Budgeting. Of late, the budget has come to represent a planning device utilizing dollars in relation to departmental programs as a means of comparison.³⁵ The process can be summed up as follows:

. . . The budget is an instrument which records work programs in terms of appropriations needed to place them into effect. It is prepared through a process of planning: the services to be rendered and the projects to be undertaken are outlined with estimates of expenditures needed to carry out the work program. Decisions must be made therefore as to what the department proposes to do in the ensuing year. Estimates must be made . . . and translated into their anticipated money cost.³⁶

Kenney also views the budget as a planning device. He emphasizes the fact that it allows the chief police administrator to express, "contingencies, priorities, time schedules, and completion dates in a practical manner . . ."³⁷ Equally important, "the budget gives the chief of police an opportunity, either directly or through the municipal administrator, to explain his program and his policies to the city council."³⁸

³⁴John P. Kenney, op. cit., p. 102.

³⁵G. Douglas Gourley, op. cit., p. 62.

³⁶The Institute for Training in Municipal Administration, op. cit., pp. 88-89.

³⁷John P. Kenney, op. cit., p. 92.

³⁸Ibid.

The budget provides other services as well. It is both a control device and a management tool if used correctly by the chief of police. As a control device, it assures that funds are expended for the purpose for which they were appropriated; as a management tool, the budget assists in seeing that work programs are completed according to plan.³⁹

Other roles. The top police executive possesses other roles in addition to those previously cited. All are too numerous to mention within the limits of this thesis. Other roles mentioned in the literature include public information, training, external relations, and equipment only to mention some. For further detail, it is recommended that the reader refer to the basic police texts cited in the footnotes of this section in this chapter.

B. The Functions of the Business Executive

Introduction. This section discusses the function of the executive who works in private enterprise. Literature pertaining to the activities performed by corporate executives is reviewed. The intent is to develop, more or less, a consensus of literary opinion as to just what responsibilities the executive engaged in private enterprise possesses and the functions he is expected to perform.

³⁹The Institute for Training in Municipal Administration, op. cit., p. 89.

The list of authors contained herein is by no means complete. Writers, whose works appear here, were selected on the basis of being representative of present feeling with regard to the topic under discussion. The author does not claim to have exhausted the literature on the subject. Instead, writers were chosen on a selective basis to show consensus, and to generally indicate what the authors in the field believe to be the role of the business and/or corporate executive.

Upon reviewing the literature under discussion, the author became aware of a basic difficulty. The views of the authors cannot be summarily classified according to topical headings. Therefore, the material presented is in no particular order.

Review of the non-police literature. Harold Stieglitz in his article, "Organization of the Chief Executives Job," states that the chief executive cannot have his work defined for him. Generally, only broad objectives are defined by the board of directors, and the determination of specific responsibilities to be kept by himself and those to be delegated are reserved to the prerogative of the executive.⁴⁰

Here it would seem, is one obvious piece of work that is uniquely that of the chief executive--defining the

⁴⁰ Harold Stieglitz, "Organization of the Chief Executives Job," Management Record, 23:2 (February, 1961).

work he will do and the work that can be delegated to others.⁴¹

Stieglitz does, however, refer to what he terms a "hard core" of responsibilities that belong to the executive.

They consist of:

1. External relations.
2. Definition of objectives and long range planning.
3. Over-all policy formulation.
4. Surveillance and control.
5. Development of a successor.⁴²

Braybrooke has developed an interesting hypothesis regarding executive functions. He writes:

The trouble . . . is that as one investigates, one seems to discover that an executive can be said to do something clearly identifiable only when he is doing something that in a larger or more perfect organization would be done by a subordinate, or, in other words it would seem that the more specialized the role of leadership becomes, the more difficult it is to say what a leader does.⁴³

He holds that men in positions of power do spend time planning, evaluating alternatives, listening to advice, and consulting. These activities, according to him, are subordinate to decision making and, as such, are activities carried to completion by subordinates. Thus, Braybrooke holds them to be inferior to the executive function.

⁴¹Ibid.

⁴²Ibid., pp. 8-9.

⁴³David Braybrooke, "The Mystery of Executive Success Re-examined," Administrative Science Quarterly, 8:533-534 (March, 1964).

Braybrooke regards decision making, "as the characteristic minute activity of the man in power."⁴⁴ In small organizations, the executive is called upon to exercise his decision making power often. In larger organizations it is exercised to a lesser degree due to "subdivision of the executive function."⁴⁵ In the words of Braybrooke:

The executive may be conceived to occupy a focal point of responsibility. Above him or beyond him there are his principals who hold him responsible for success . . . Beneath the executive lies the organization that looks to him as the fount of authorizations, and that, in the event of criticism from the principals, will shift the responsibility for policies upward to him, either by claiming that only what he had authorized had been done, or by forcing him to decide whether a case of exceeded authority should be overlooked or punished.

. . . The main excitement of executives' careers must consist in this: that they are forced to risk their jobs and reputations on decisions where good results are not guaranteed . . .

What the executive has to do, to speak naively, is simply to succeed: succeed in pacifying interest groups, succeed in keeping his firm at the head of the industry . . . He does not necessarily have to win all the time; his principals may put up with failures, even with a sequence of failures, so long as they believe that no one else could have done any better . . .⁴⁶

Appley defines the management function as "activity which makes things happen."⁴⁷ He further holds there exist

⁴⁴Ibid., p. 537.

⁴⁵Ibid.

⁴⁶Ibid., p. 542.

⁴⁷Lawrence A. Appley, "Management and the American Future," in Max D. Richards and William A. Nielander, Readings in Management (Chicago: South-Western Publishing Company, 1958), p. 8.

certain fundamental management processes that have to be adhered to in order to make things occur. These processes are planning, organizing, and executing. Planning refers to setting goals, determining future conditions, and the future methods of action to be taken. Organizing connotes the assembling and arrangement of resources in order to realize planned objectives. Executing is implementing plans in order to attain goals.⁴⁸

Dinsmore refers to the role of the administrator as being one of strategy development. He writes that the administrator is:

One who assigns general objectives but gives little or no consideration to the details of their accomplishment. The administrator establishes comprehensive objectives for the organization or one of its major subdivisions . . . He is the strategist.⁴⁹

What Dinsmore terms strategist appears to be quite similar to the planning role of the management function described by Appley.

Chester I. Barnard has authored a rather extensive volume concerned solely with the functions of the executive. Barnard visualizes three essential duties as being executive in nature. They are:

1. The first executive function is to develop and maintain a system of communication.

⁴⁸Ibid.

⁴⁹William F. Dinsmore, "Supervision, Management, and Administration," Personnel, 39:77-80 (July-August, 1962).

2. The second function of the executive organization is to promote the securing of the personal services that constitute the material of organizations.
3. The third executive function is to formulate and define the purposes, objectives, and ends of the organization.⁵⁰

Barnard further holds that "executive work is not that of the organization, but the specialized work of maintaining the organization in operation."⁵¹

Barnard's first executive role involves the development and maintenance of a communication scheme. In the author's words:

The process by which the latter is accomplished include chiefly the selection of men and the offering of incentives: techniques of control permitting effectiveness in promoting, demoting, and dismissing men; and finally the securing of an informal organization in which the essential property is compatibility of personnel . . . ⁵²

The second executive duty proposed by Barnard is divided into two primary sections: (1) bringing employees into union with the organization, and (2) the obtaining of appropriate services upon bringing persons into the state of the relationship mentioned above.⁵³

The methods . . . as executive functions may be distinguished as the maintenance of morale, the maintenance of the scheme of inducements, the

⁵⁰ Chester I. Barnard, The Functions of the Executive (Cambridge: Harvard University Press, 1960), pp. 226-231.

⁵¹ Ibid., p. 215.

⁵² Ibid., pp. 226-227.

⁵³ Ibid.

maintenance of schemes of deterrents, supervision and control, inspection, education, and training.⁵⁴

C. I. Barnard's third executive responsibility refers directly to organizational goals. It is their job to define and redefine, as need arises, the ends sought by the enterprise. On this issue, Barnard stresses the old proverb that "actions speak louder than words":

. . . Purpose is defined more nearly by the aggregate of action taken than by any formulation in words . . . It is more apparent here than with other executive functions that it is an entire executive organization that formulates, redefines, breaks into details, and decides on innumerable simultaneous and progressive actions that are the stream of synthesis constituting purpose or action . . .⁵⁵

Chester Barnard does not visualize these three functions as separate entities. "It is their combination in a working system that makes an organization."⁵⁶ In essence, they are functions of an organic whole.

Marshall E. Dimock believes that the executive should have knowledge of organization plans and strategy. After this, the work of the executive is essentially:

A matter of taking routine and periodic inventory of the current state of accomplishment in an unfolding program, in order that the head of the enterprise may secure a bird's-eye integrated view of the progress of the work as a whole . . .⁵⁷

⁵⁴Ibid., pp. 230-231.

⁵⁵Ibid.

⁵⁶Ibid., p. 233.

⁵⁷Marshall E. Dimock, The Executive in Action (New York: Harper and Brothers, Publishers, 1945), p. 84.

The text, The Executive At Work, by Melvin Copeland describes the executive as a decision maker:

Someone must decide what is to be done, when, and by whom. . . . For each decision action must be taken, and the primary responsibility for making sure that action is taken rests on whoever makes the decision . . .⁵⁸

Copeland summarizes the executive role as follows:

It is the task of the chief executive to make the key decisions and to make sure that the supplementary decisions are made in due time, in proper sequence, and in harmony with the key decisions. His real authority is measured by the degree to which his key decisions are implemented by the supplementary decisions and actions of the rest of the organization.⁵⁹

Pamp concurs with Copeland in holding the central activity of the executive to be his process of decision.⁶⁰

Pickus writes on the necessity of a manager to possess "administrative skills." He writes:

A successful manager is marked by his ability to plan and organize the work of others rather than by the amount of work he does himself. . . . Ability to inspire and teach, ability to make decisions, and a creative imagination are important marks of a successful manager.⁶¹

Katz suggests that an administrator is an individual who:

⁵⁸Melvin T. Copeland, The Executive at Work (Cambridge: Harvard University Press, 1951), p. 15.

⁵⁹Ibid., p. 17.

⁶⁰Frederick E. Pamp, "Liberal Arts as Training for Business," Harvard Business Review, 33:45 (May-June, 1955).

⁶¹Morris I. Pickus, "What a Manager Must Be," Personnel Journal, 42:580 (December, 1963).

1. Directs the activities of other persons, and
2. Undertakes the responsibility for achieving certain objectives through these efforts.⁶²

The success or failure of an administrator depends upon how well he has mastered technical, human, and conceptual skills.⁶³

Murdick proposes in his writing that the primary activities of the "top administrator" are planning, organizing, directing, and controlling the chief activities of an organization. Also, "the manager directs the work of . . . employees and has authority to hire and fire."⁶⁴ Murdick does not define what he means by the terms used to describe the primary activities.

Glen Cleeton and Charles Mason qualify their definition of the executive's job by stipulating that the degree to which an executive engages in policy decisions, delegation of responsibilities, and tasks supervisory in nature depends upon the degree of specialization of the position

⁶²Robert L. Katz, "Skills of an Effective Administrator," in Max D. Richards and William A. Nielanders, Readings in Management, op. cit., p. 759.

⁶³For a detailed explanation of technical, human, and conceptual skills, the reader is advised to review the above article. Since the items mentioned are skills and not functions, the author desires only to bring them to the reader's attention.

⁶⁴Robert G. Murdick, "The Meaning of Management as a Profession," Advanced Management, 25:15 (April, 1960).

held in the organization by that particular executive.⁶⁵ However, they present the following "abstract analysis of executive functions." In their view the duties of the executive are as follows:

1. Determination of problems relating to raw materials, production, marketing, finance, risk, personnel, and social institutions which require solution.
2. Planning the solution of these problems.
3. Organization of personnel and setting up physical equipment to carry plans into operation.
4. Delegation of responsibilities for execution of plans.
5. Supervise both human and physical agencies operating to carry out plans.
6. Test, check, and modify organization to compensate for inevitable changes and unforeseen consequences.
7. Coordinating organization into a balanced unit.
8. Maintain control of organization at all times. No scheme for organization is self-sustaining. The executive must know and apply techniques of control.⁶⁶

The additional function, though not appearing in the above list, of coordinator is stressed in terms of importance by Cleeton and Mason. They definitely believe coordination to be an executive responsibility. Their view is that, in a

⁶⁵Glen U. Cleeton and Charles W. Mason, Executive Ability Its Discovery and Development (Yellow Springs, Ohio: The Antioch Press, Publishers, 1934), pp. 20-21.

⁶⁶Ibid., pp. 27-28.

sense, the administrator is a specialist in coordination.

In their words:

He must take the facts supplied by his research experts, his production experts, and his market experts, and coordinate these facts into the best interest of his company as a whole. He must evaluate facts and weigh them, one against the other, so as to formulate plans of action.⁶⁷

Hay and Purves outline the following items as being characteristic of a "high-level" position:

1. Has a definite objective in a specified area of activities, and this can be stated and delimited quite concretely.
2. Requires the establishment of an organization, with functions and delegations of responsibility and authority, and these can be stated clearly.
3. Requires the staffing, development, and appraisal of the organization, which can be spelled out.
4. Involves making policy, which can be described as to content and extent.
5. Requires planning, which can be identified as to its coverage and its over-all, long-range, short-range, and specific aspects.
6. Involves execution by self or through others, which can be described in terms of administration, specialization, direction, and motivation.
7. Involves review and appraisal of results against objectives and plans.⁶⁸

The authors view the above items as the areas in which an executive functions. He devotes his attention to these seven activities.

⁶⁷Ibid., p. 142.

⁶⁸Edward N. Hay and Dale Purves, "The Profile Method of High Level Job Evaluation," Personnel, 28:164 (September, 1951).

As recent as 1962, a group of top administrators gathered at the Waldorf-Astoria in New York City in order to participate in a round-table discussion concerning the basic elements of their occupation. Decision making was the responsibility outlined as the most exacting. The following duties also received considerable attention during the discussions:

1. Determining the form of his organization.
2. Staffing the organization.
3. Controlling, appraising, and accounting for results.
4. Creating an atmosphere that is conducive to good relations--an atmosphere in which people can feel free and uninhibited.⁶⁹

Wrightnour, in his writing, describes six major responsibilities of top managers. He believes that every administrator possesses responsibilities in the topics mentioned below:

1. The organizing, planning, direction, coordination, and control of the personnel under his jurisdiction.
2. The selection, training, and development of an effective team of competent people who thoroughly understand and are able to accept and discharge, the obligations of their positions.
3. Guiding and coordinating performance, enlisting the willing response and full cooperation of all members of the team.

⁶⁹_____, "In The Record," Management Record, 24:1 (May, 1962).

4. Applying appropriate measures of accountability, appraising results, and taking steps to correct weaknesses.
5. Energizing his personnel to maximum accomplishment.
6. Maintaining employee, customer, and public relations on a high plane.⁷⁰

G. W. Briggs draws an analogy between a manager and a tribal god. Here he is referring to their being set apart from the remainder of the organization and its everyday cares and concerns. "It is characteristic of functional management that the closer you get to the shop floor the more you are concerned with detail and technicalities."⁷¹ Thus, the higher one goes in the job hierarchy, the closer he comes to resembling a tribal god in this sense.

"A good general manager need not be highly skilled technically, but he must be a first-class organizer if he is to be successful."⁷² Briggs sees the techniques of management as:

1. Fact-finding and interpretation.
2. Forecasting and planning.
3. Organizing.
4. Directing.
5. Co-ordinating.

⁷⁰William F. Wrightnour, "Management Development: A Practical Application," Personnel, 28:285-286 (January, 1952).

⁷¹G. W. Briggs, Studies in Management Techniques (London: Gee and Company Limited, 1953), pp. 12-13.

⁷²Ibid.

6. Controlling.⁷³

Light, another English author, writing a few years after Briggs takes somewhat of a different approach. Light views the administrator as one who plans, organizes, and directs the work of others. "They (executives) use their own capabilities and those of their subordinates to get things done."⁷⁴ However, he also writes of the executive's authority to plan, organize, and control, as does Briggs; but, in addition, he makes note of the acceptance of these responsibilities assigned to the executive's position of authority. Light defines these duties:

1. In planning, an executive decides what shall be done, determines methods and procedures, and fixes day to day schedules. He is concerned with the future and forecasting: he tries to anticipate possible events and their effect.
2. In organizing, resources and manpower are combined for the economical and effective attainment of given objectives. As far as the executive is concerned, the human factor is the most important in this part of his work, for he is required to motivate, direct, and co-ordinate the work of others.
3. In controlling, an executive is required to see that the results of his organizing conform as possible to the plans. It involves checking activities and providing methods for correcting faults.⁷⁵

Mr. Light recognizes the fact that executive positions are often specialized carrying differing assignments,

⁷³Ibid., p. 5.

⁷⁴H. R. Light, The Business Executive (London: Sir Isaac Pitman and Sons Limited, 1961), p. 2.

⁷⁵Ibid.

e.g., sales, planning, personnel, etc. He believes that no matter what the activity, the executives involved will engage to varying degrees in the related functions mentioned above. "While all executives are engaged in each of these processes, it is clear that the proportion of time they spend on each will vary from time to time and from one executive to another."⁷⁶

Haynes and Massie concur with Light and also speak of the executive's job requiring the involvement of getting things done through the medium of people.

. . . It is clear that the human or personnel side of management is extremely important; many otherwise sound ideas have failed because of the inability to win the co-operation or, at least, the acceptance of those who must put the ideas into practice.⁷⁷

In their view, the executive is functionally involved in:

1. Decision-making
2. Organizing.
3. Planning.
4. Directing.
5. Controlling.
6. Staffing.
7. Co-ordinating.

⁷⁶Ibid., p. 3.

⁷⁷Warren W. Haynes and Joseph L. Massie, Management Analysis, Concepts, and Cases (Englewood Cliffs: Prentice-Hall, Inc., 1961), p. 12.

8. Communicating.
9. Motivating.
10. Evaluating.⁷⁸

Louis A. Allen regards management as involving the exercise of a number of distinct and visible duties. They are planning, organizing, co-ordinating, motivating, and controlling in reference to the work of other people. Allen writes:

The professional manager devotes a share of his personal time to appraising the work of his subordinate officers, to counseling and coaching them in their efforts to improve performance. He establishes a control system that will report the data he requires to evaluate the progress of the company and each of its component members and enable him to take corrective action as soon as discrepancies in performance are identified.⁷⁹

In a subsequent publication, Allen's list of executive duties changed. He stated that the functions included planning, organizing, directing, coordinating, and controlling excluding the motivation function that appeared in his previous list. In its place appeared directing. Allen critiqued the above items as being vague. He further defined a manager as:

. . . Someone who is so placed organizationally that only he has perspective, objectivity, and balance with respect to the varying and sometimes conflicting needs of his subordinates. Hence, his work consists of doing those things that his subordinates do not

⁷⁸Ibid.

⁷⁹Louis A. Allen, "Wanted--A Science of Management Organization," Advanced Management, 24:21-22 (January, 1959).

have the perspective or objectivity to do for themselves.⁸⁰

He sees the manager as a "catalyst" reconciling needs and interests of both subordinates and superiors alike. "And he fulfills his role as a catalyst by performing the work that only he can do--the work that neither his boss nor his subordinates are organizationally placed to do."⁸¹ Again, through redefinition, Allen describes this unique managerial work as being divided into four distinct functions:

1. Leading.
2. Organizing.
3. Planning.
4. Controlling.⁸²

"To fulfill his organizational role, every manager at every level must carry out these activities. When he is not doing these things, he is not managing."⁸³

Louis Allen stresses the leadership aspect and lists several subfunctions; leading, the work a manager does to cause others to take action, includes:

1. Initiating--the work a manager does to insure that everything that has to be done gets underway . . .

⁸⁰Louis A. Allen, "The Good Manager: Do We Know What We're Looking For?," Personnel, 37:10 (January-February, 1960).

⁸¹Ibid., p. 11.

⁸²Ibid.

⁸³Ibid.

2. Decision-making--the work a manager does in arriving at conclusions based on the logical analysis of alternatives . . .
3. Communicating--the work a manager does in getting others to understand what he has in mind, and, in turn, understanding his subordinates.
4. Motivating--the work a manager does to stimulate and spur people on . . .
5. Selecting people--the work a manager does in choosing those who are not only qualified for the job, but are also most likely to be compatible with the other members of the team.
6. Developing people--the work a manager does aimed at improving present performance and developing latent skills . . .⁸⁴

The definition of his concept of organizing is:

The work a manager does to develop a sound structure, delegate responsibility and authority, and establish working relationships that will facilitate the attainment of his objectives.⁸⁵

Planning refers to a manager's work regarding the determination of future action, and management controls consist of those techniques utilized to insure work is being performed according to his instructions.⁸⁶

House and McIntyre have attempted one of the few empirical studies of the duties of the executive. Both authors interviewed "seasoned" managers averaging nine years of experience. "The purpose of the interview was to obtain

⁸⁴Ibid., pp. 11-12.

⁸⁵Ibid., pp. 13-14.

⁸⁶Ibid.

from each member a statement of his management philosophy and the activities he performed as a manager."⁸⁷ Their intent was:

To get as many statements as possible from each interviewee, bearing on what he does as a manager, and what he believes are the proper objectives of management . . . ⁸⁸

The interviews were conducted at North American Aviation at the Columbus Division. Their duration consisted of a minimum of twenty-five minutes and ranged to a maximum of three hours. A total of eleven interviews were conducted.⁸⁹

For purposes of publication and formal presentation, all responses were categorized within four major groupings: planning, organizing, motivating, and controlling. (See Figure I.)⁹⁰ A total of one-hundred and ninety statements were recorded which led to some purposeful findings. Interestingly, forty per cent of the statements were categorized in the area of motivation. Also, responses dealing with planning were not as specific as those involving the three other categories. Statements centering around planning were often vague and uncertain. Answers such as, "you have

⁸⁷Robert J. House and John M. McIntyre, "Management Theory in Practice," Advanced Management, 26:17 (October, 1961).

⁸⁸Ibid.

⁸⁹Ibid.

⁹⁰Ibid., pp. 17-18.

FIGURE I

COLUMBUS DIVISION, NORTH AMERICAN AVIATION, INC.,
MODEL OF MANAGEMENT* PRACTICE

Plan	Organize	Motivate	Control
1. Forecast.	1. Identify and define work to be performed.	1. Communicate and explain objectives and goals to subordinates.	1. Review operations.
2. Establish conditions.	2. Break work down into operative duties.	2. Assign work to be performed, accountability and extent of authority.	2. Compare results against goals (sub-objectives).
3. Establish objectives.	3. Establish an ideal organizational concept.	3. Assign performance standards.	3. Appraise results against performance standards and policies.
4. Anticipate possible future problems.	4. Group operative duties into operative positions.	4. Coach and guide subordinates to meet performance standards.	4. Determine results for exceptions.
5. Establish policies.	5. Group operative positions into manageable and properly related units.	5. Train and develop subordinates to realize full potential.	5. Record.
6. Establish a program of accomplishment.	6. Define position requirements.	6. Provide a motivating environment by communicating the changing situation and its requirements.	6. Revise and adjust control methods in light of control results.
7. Plan standards and methods of measuring accomplishment.	7. Provide personnel facilities and other resources.	7. Praise and censure fairly.	7. Coordinate throughout the control process.
8. Revise and adjust the plan in light of control results and changing conditions.	8. Revise and adjust the organization in light of control results.	8. Reward subordinates based on performance.	
9. Coordinate throughout the planning process.	9. Coordinate throughout the organizing process.	9. Revise and adjust the work of motivation in light of control results.	
		10. Coordinate throughout the motivating process.	

to look ahead" and "oh yes, you have to know where you're going" were frequently made.⁹¹

It was evident that planning is the least consciously performed of any of the functions, and in spite of its fundamental importance, it is the function most accomplished by intuition . . .⁹²

The study also brought to light dual roles practiced by managers in general: the roles of superior and subordinate. Each is played separate from the other, and it is a rare manager who plays both optimally.⁹³

Fox too, writes of the manager's job as being one of getting things done through the directed efforts of other people. He writes:

. . . In effect, he engages in the functions of planning, organizing, and controlling the work of others in addition to his own work. These are the three organic functions of management. By 'organic' we mean that all three are invariably basic to, and inherent in, managerial activity, whenever and wherever it is performed.⁹⁴

Dr. Fox defines planning as determining what has to be done, how, where, when, and by whom. He views organizing as "setting the stage" for performance "by determining what functions, people, physical factors, and the interrelationships between these will be required to carry out

⁹¹Ibid., p. 20.

⁹²Ibid.

⁹³Ibid.

⁹⁴William M. Fox, The Management Process (Homewood, Illinois: Richard D. Irwin, Inc., 1963), p. 3.

organizational objectives."⁹⁵ Controlling concerns the activities performed by the manager designed to insure events conforming to plans.⁹⁶

Fox mentions the existence of a basic controversy among authorities regarding the classification of management functions. There is general accord as to the three basic functions, but little agreement exists covering subfunctions. He classifies the primary activities as previously mentioned, and his classification of primary and secondary management duties appears below. The primary functions are listed horizontally and the subfunctions appear vertically.

PLANNING

ORGANIZING
Staffing
Training

CONTROLLING
Delegating
Directing
Motivating
Coordinating
Evaluating
Correlating⁹⁷

Newman again brings one's attention to the activity performed by the manager in directing the efforts of other individuals toward certain goals. He believes the way to analyze administration is through what the administrator does. In his text, Newman delineates six basic duties into which the tasks of the executive are divided:

1. Planning--that is, determining what shall be done . . .

⁹⁵Ibid., p. 4.

⁹⁶Ibid.

⁹⁷Ibid., pp. 4-5.

2. Organizing--that is, grouping the activities necessary to carry out the plans into administrative units, and defining the relationships among the executives and workers in such units.
3. Assembling resources--that is, obtaining for the use of the enterprise the executive personnel, capital, facilities, and other things needed to execute plans.
4. Directing--that is, issuing instructions . . .
5. Controlling--that is, seeing that operating results conform as nearly as possible to the plans.
6. Non-delegated activities--that is, the sales manager may call on customers, or the production manager may spend some time in the design of a new product.⁹⁸

Newman emphasizes that "even the administrators of very large enterprises are not able to delegate all actual performance to subordinates."⁹⁹ Included in the non-delegated activities category are:

The external contacts that the chief executive of a large enterprise must make personally; it is incumbent upon him to meet important customers, deal with union officials, appear before Congressional Committees, or take part in certain civic activities . . .¹⁰⁰

Carroll L. Shartle summarizes the findings of the Ohio State Leadership Studies of business and military organizations in his text Executive Performance and

⁹⁸William H. Newman, Administrative Action: The Techniques of Organization and Management (New York: Prentice-Hall, Inc., 1951), pp. 4-5.

⁹⁹Ibid.

¹⁰⁰Ibid.

Leadership. Executives from both factions were studied through interview and direct observation to determine what activities they performed. "The purpose of the interviews and observations was not to compile job descriptions, but to discover the scope of executive performance and determine the kinds of activities that were performed."¹⁰¹ Through the study a list of fourteen activities discharged by executives was arrived at:

1. Inspection of the Organization. Direct observation and personal inspection of installations, buildings, equipment, facilities, operations, services, or personnel for the purpose of determining conditions and keeping informed.
2. Investigation and Research. Acts involving the accumulation and preparation of information and data (usually presented in the form of written reports).
3. Planning. Preparing for and making decisions which will affect the aims of the organization as to volume or quality of business or service (including thinking, reflection and reading, and consultations and conferences with persons relative to short and long range plans).
4. Preparation of Procedures and Methods. Acts involving the mapping of procedures and methods for putting new plans into effect, as well as devising new methods for the performance of operations under existing plans.
5. Co-ordination. Acts and decisions designed to integrate and coordinate the activities of units within the organization or of persons within units to achieve maximal over-all efficiency, economy, and control of operations.
6. Evaluation. Acts involving the consideration and evaluation of reports, policies, and standards of the organization.

¹⁰¹Carroll L. Shartle, op. cit., p. 83.

7. Interpretation of Plans and Procedures. Acts involving the interpretation and clarification for assistants and other staff personnel of directives, regulations, practices, and procedures.
8. Supervision of Technical Operations. Acts involving the direct supervision of personnel in the performance of duties.
9. Personnel Activities. Acts involving the selection, training, evaluation, motivation, or disciplining of individuals, as well as acts designed to affect the morale, motivation, loyalty, or harmonious cooperation of personnel.
10. Public Relations. Acts designed to inform outside persons regarding the program and functions of the organization, to obtain information regarding public sentiment, or to create a favorable attitude toward the organization.
11. Professional Consultation. Giving professional advice and specialized assistance on problems of a specific or technical nature to persons within or outside the organization (other than technical supervision and guidance of own staff personnel).
12. Negotiations. Purchasing, selling, negotiating contracts or agreements, settling claims, etc.
13. Scheduling, Routing, and Dispatching. Initiating action on determining the time, place, and sequence of operations.
14. Technical and Professional Operations. The performance of duties specific to a specialized profession. (e.g. practice of medicine, auditing records, operating mechanics on equipment).¹⁰²

Koontz and O'Donnell see the managerial job as the creation of an environment within the organization facilitating the realization of its basic objectives.

In cooperative enterprises--whether these be government bureaus, universities, churches, hospitals, or

¹⁰²Ibid., pp. 83-84.

business firms--the able manager creates conditions conducive to effective work . . .¹⁰³

These authors emphasize that the managerial duties are common to all organizations.

The duties are grouped around the common functions of planning, organizing, staffing, direction, and control. Koontz and O'Donnell qualify the above classification by stating that it is not always feasible to arrange all managerial functions into these categories, however, they hold the arrangement to be a realistic and helpful tool.¹⁰⁴ "In practice, managers find themselves performing all their functions at once . . ."¹⁰⁵

The authors make an astute distinction between functions and techniques. They feel the distinction is useful because of a tendency by a great many authors to intermingle functions and techniques. "Functions are the characteristic duties of the manager, while techniques refer to the way these functions are carried out."¹⁰⁶

Thus, a manager may be engaged in the function of direction, but he may use the technique of command or persuasion. His function of controlling a subordinates activities may be exercised through the technique of a budget . . .¹⁰⁷

¹⁰³Harold Koontz and Cyril O'Donnell, Principles of Management: An Analysis of Managerial Functions (New York: Third Edition, McGraw-Hill Book Company, 1964), p. 38.

¹⁰⁴Ibid., p. 39.

¹⁰⁵Ibid.

¹⁰⁶Ibid.

¹⁰⁷Ibid., p. 45.

Pfiffner and Presthus, writing from the vantage point of the public administrator, regard the maintenance of organizational balance as a vital administrative function.

They write:

The executive's function is to keep the organizations sense of collective purpose alive, to weld the members together in seeking it, and to adapt this purpose to changes that may otherwise render it anachronistic. Since he alone has the power and the vantage point to do so, the top executive must be held responsible when the organization falters.¹⁰⁸

Pfiffner and Presthus see the role of the top administrator as comprising the following activities:

1. Leadership by compromise, not by command.
2. Public spokesman for the organization.
3. Coordination.
4. Decision-making.
5. Communication.¹⁰⁹

The above authors observe that most writers in the field of administration neglect the political implications of administration. They attribute this, in part, to the belief that politics and administration are separate entities. Pfiffner and Presthus hold that administration demands political skills, and that they are just as important as skills in finance, personnel administration, and organization

¹⁰⁸ John M. Pfiffner and Robert V. Presthus, Public Administration (New York: Fourth Edition, The Roland Press Company, 1960), pp. 108-109.

¹⁰⁹ Ibid., pp. 110-133.

analysis. They list the following as political activities important to the administrator:

1. Maintaining relations with legislators.
2. Maintaining relations with interest groups.
3. Maintaining relations with the unorganized public.¹¹⁰

It is their belief that the results of such activities can, and often do, provide "effective public relations."¹¹¹

C. Analysis of the Literature

Introduction. The remainder of the chapter consists of a summary of parts I and II along with statements pertaining to observations made by the author in his search through the literature. The intent herein is to provide the reader with a summary of comparative findings discovered through reviewing the writings of police and non-police (business) oriented authors. Finally, comments are offered regarding whether or not the literature is supportive or contradictory of the key hypothesis under investigation.

Analysis of the police literature. Generally, police writers are in agreement as to what functions are within the realm of responsibility of the police executive. They recognize executive responsibility as existing in several areas; viz., planning, organizing, directing,

¹¹⁰Ibid., p. 154.

¹¹¹Ibid.

staffing, coordinating, reporting, budgeting, public information, and external relations. These areas represent activities in which the police administrator is active, or in which in their view should be engaged. Authors within this discipline seem to incorporate traditional views of management in defining executive responsibility. Accountability for the proper exercise of duties within the area of the functions mentioned accrue to the police executive by virtue of his position as head of an organization of major segment thereof.

One primary critique of the police writers in general can be ventured. Their articles written on the subject matter under discussion are quite general in scope and present relatively broad concepts. Considerable detail seems to be absent. They define wide areas of responsibility, but often fail to adequately describe the police executive's role from a functional standpoint.

The planning function serves as an excellent example of the above critique. In the text Municipal Police Administration, The Institute for Training in Municipal Administration adequately defines the planning process, discusses the concept of staff work, classified types of plans, and offers broad guides pertaining to the functioning of a planning unit.¹¹² Little is said about:

¹¹² See Municipal Police Administration, op. cit., pp. 79-86.

1. The type of planning to be performed by top executives.
2. The type of planning to be performed by middle management.
3. The type of planning to be performed by supervisors.

Answers as to who performs certain types of planning are not to be found in their discussion of the subject. Wilson also fails to specify those types of plans which are executive, managerial, or supervisory in responsibility.¹¹³

Kenny, in his book Police Management Planning, not only defined the planning process per se, but also attempted to answer the basic question at hand: "Who plans"? His presentation, although lacking in depth, discusses the planning responsibilities of all levels within the police organization. Of the authors reviewed, Kenny was the only one to attempt such a delineation of the planning function.

Similar examples can be drawn from the literature involving other executive activities. Writers define a certain activity as being within the area of responsibility of a police executive, but his exact role often is not adequately covered. Little detailed police literature describing the job of the executive or what duties he performs on an actual basis within the scope of the major administrative functions is available.

¹¹³ See O. W. Wilson, Police Planning (Springfield: Second Edition, C. Thomas, Publisher, 1957), Chapter I for additional discussion.

In short, the police writings treat the subject of the functions of the executive very broadly and are considerably lacking in detail from a functional point of view.

Analysis of the business literature. The writers of the non-police literature present varied interpretations as to the role of the administrator or executive. Their listings included two to five major activities in some cases and ranged to include as many as fourteen items in other instances. The views of some authors differed from those of others, but most agreed on the rudimentary functions of an executive. Disagreement existed mostly over terminology.

As a whole, the business literature is available in greater quantity than is the police literature. Its authors developed their views in greater detail than did their police counterparts. Perhaps the reason for this difference lies in their interest in this area over a longer period of time.

In addition to existing in greater detail, the business authors appeared to also hold an advantage from a qualitative standpoint. Many writers developed their subject matter to a much greater depth than did the police authorities. However, the same criticism as previously made concerning the police data is also applicable to the business literature, but to a lesser degree. Here again the content of the books and articles concentrated on defining areas of responsibility rather than describing the administrators role functionally. They did delve into functional aspects

more so than the police writers, but not to the degree necessary in this author's estimation. Here again the dual questions of (Who plans? and At what level are certain plans completed?) often go unanswered.

The police and business literature compared.

Generally speaking, the duties and responsibilities of the police administrator and business executive appear to be quite similar judging from the content of the literature reviewed. Many administrative responsibilities defined appear in both literary spheres. In addition, much of the writing that appears in the police-oriented texts and/or journals often is footnoted to authors outside of the police field. Many reference notes are attributed directly to the business literature as a whole. The books and periodicals of both factions contain much the same terminology describing executive functions.

Figure II is a compilation of terminology appearing in the published works of the police and business literature reviewed. The reader should note the similarities involved. Both columns contain many identical terms as well as synonyms of words appearing in the other's list.

Along with similarities in terminology, Figure II exhibits in a cursory manner the fact that the business literature along these lines is considerably more developed than are the police writings. This can be attributed to the actuality that people from the business circles have been

FIGURE II
POLICE AND BUSINESS TERMINOLOGY DESCRIBING
EXECUTIVE FUNCTIONS

POLICE		BUSINESS	
1.	PLANNING	1.	LEADING
2.	ORGANIZING	2.	PLANNING
3.	DIRECTING	3.	ORGANIZING
4.	EXTERNAL RELATIONS	4.	CONTROLLING
5.	STAFFING	5.	INITIATING
6.	TRAINING	6.	DECISION-MAKING
7.	BUDGETING	7.	COMMUNICATING
8.	EQUIPMENT	8.	MOTIVATING
9.	COORDINATING	9.	SELECTING PEOPLE
10.	PUBLIC INFORMATION	10.	DIRECTING PEOPLE
11.	REPORTING	11.	ASSEMBLING RESOURCES
12.	CONTROLLING	12.	INSPECTION
		13.	INVESTIGATION & RESEARCH
		14.	COORDINATION
		15.	EVALUATION
		16.	SUPERVISION
		17.	PUBLIC RELATIONS
		18.	PROFESSIONAL CONSULTATION
		19.	EXTERNAL RELATIONS
		20.	NEGOTIATIONS

publishing in more quantity over a longer time span than have police authors.

The literature and the hypothesis. The literature generally supports the contention of the hypothesis put forth in Chapter I. Both groups describe almost identical duties as those belonging to persons serving in executive capacities. While some differences do exist between the writings of both fields, they largely involved matters of terminology only, and seldom content. Some authors varied in their lists of executive activities, but such lists contain a core of responsibilities which differ only slightly. In both the police and business literature, these core duties and responsibilities are similar. Extracted from Figure II they appear below in Figure III.

FIGURE III

COMPARATIVE LISTING OF CORE EXECUTIVE DUTIES
IN THE POLICE AND BUSINESS FIELDS

POLICE	BUSINESS
PLANNING	PLANNING
ORGANIZING	ORGANIZING
DIRECTING	DIRECTING PEOPLE
STAFFING	SELECTING PEOPLE
BUDGETING	ASSEMBLING RESOURCES
COORDINATING	COORDINATION
CONTROLLING	CONTROLLING
PUBLIC INFORMATION	PUBLIC RELATIONS
EXTERNAL RELATIONS	EXTERNAL RELATIONS

Figure IV exhibits the relationship that exists between the core executive duties appearing in the police and business disciplines and headings extracted from the model. Note that the model headings are not identical to the literary listings. However, all three groups are very similar.

The reader is reminded that the model presents criteria for identifying administrative policy making positions in general, and it is not intended to be an all inclusive listing of executive functions.

FIGURE IV

COMPARATIVE LISTING OF EXECUTIVE DUTIES CONTAINED IN THE POLICE AND
BUSINESS LITERATURE AND THE MODEL

POLICE	BUSINESS	MODEL
PLANNING	PLANNING	PLANNING
ORGANIZING	ORGANIZING	BUDGETING
DIRECTING	DIRECTING PEOPLE	APPOINTING AUTHORITY
STAFFING	SELECTING PEOPLE	POLICY MAKING
BUDGETING	ASSEMBLING RESOURCES	DIRECTING
COORDINATING	COORDINATING	LEADING
CONTROLLING	CONTROLLING	CONTROLLING
PUBLIC INFORMATION	PUBLIC RELATIONS	
EXTERNAL RELATIONS	EXTERNAL RELATIONS	

CHAPTER IV

CASE STUDIES

Introduction. This chapter presents narrative summaries of case studies of police and business executives. They were conducted in an attempt to test the validity of the hypothesis under study. The initial section treats the police interviews, the second deals with the business realm, and the third, is an analysis of the data uncovered. In all, eight case studies are reported with four stemming from talks with police and business administrators respectively.

Methodology. Four executives were selected at random in each group. There were two primary considerations that limited the selection procedure: (1) the availability of the individual executives, and (2) their willingness to participate in the study. Representatives from both groups came from levels in middle management. Care was exercised to insure that the persons studied from both spheres held such positions. It is assumed that this level of administrative rank performs work that typifies the functions performed by the general executive.

The interviews were loosely structured. Each interviewee was asked to describe the various duties and

responsibilities of his position in detail. In as much as each case study served to test the model presented in Chapter II, the writer utilized it as a basic frame of reference for each interview. If the respondent failed to cover points contained in it, or wandered in his presentation, the interviewer asked pertinent questions to center attention on such parts of the model.

The case studies serve to add a measure of reality to the study. They test the hypothesis in a dynamic environment.

A. Police Case Summaries

Case Summary No. 1

Background. The police administrator interviewed holds the position of executive officer in one of the older state police agencies in the country. His rank is in accord with the position and is classified under the civil service statute as that of Major. He is second in the department's organizational hierarchy being subordinate only to the state police commissioner. He might well be classified as the assistant to the commissioner and, by and large, performs a combination of line and staff activity.

The case study. He described his job as "assisting the police commissioner in every possible way." Operationally, both line and staff functions are channeled through his office. This particular police executive is in a

position to perform a multitude of tasks and is often called upon to do so. In this instance, a delineation according to a line and staff pattern would be inaccurate. Frequently, when vital incidents occur, this man is called upon to act in the capacity of a line commander and take charge of all state police personnel at the scene. At other times, his job calls for service as a staff officer. However, the primary activities of the position itself are of a staff nature. This fact will become evident as the case summary unfolds.

Planning. The commissioner has delegated a large portion of the planning function to the executive major. His chief responsibilities in this area include the development of a variety of departmental programs and procedures. Many plans are personally developed. After they are formulated, all designs are subjected to review by the total compliment of personnel holding the rank of captain. These men critique the scheme(s), and they are subsequently rewritten as necessary.

Budgeting. This state police agency employs a full-time civilian business manager who bears the leading responsibility in the preparation of the budget. Major X reviews the pre-prepared fiscal plan and makes recommendations as needed. By virtue of his having the ear of the commissioner and the relationship being close organizationally, his voice carries considerable weight in this area.

Appointing authority. With regard to appointing authority, state civil service law severely limits the exercise of discretion by the department. This activity is performed by the state personnel department through their testing process from entry through dismissal and including promotion. Internally, however, it is not quite that simple. The executive major possesses the authority to assign, transfer, and discipline employees. His job description states that he "shall supervise all personnel including civilians in the field and at headquarters."

Policy making. In the category of policy development, he plays an important role. Through his capacity as advisory officer to the commissioner, he recommends needed policy adoptions and makes changes that in his estimation are necessary. Once established, all policy implementation becomes his concern. This activity consumes a sizable amount of his time on the job.

Direction and supervision of manpower. His position in the organizational hierarchy places him in command (through the chain of command) of all but a few units that report directly to the commissioner (business manager, fire marshal, detective divisions, commissioner's staff, and the governor's staff).

Recognized as responsible for major activity. Major X, in effect, is directly responsible for most activities

performed by the department. Certain exceptions have been noted above, but they do not detract from the stature of his position. He is frequently called upon to appear before state level legislative committees, to work as a consultant with municipalities, and appear in speaking engagements before civic organizations.

Concern for adequacy of performance. Since his position places him in an accountable position for the proper functioning of the agency, he shares great concern for insuring compliance with departmental rules and regulations. To accomplish this end, he expressly commands an inspections unit located directly under his supervision. The unit's duty is to check various activities within the organization to insure specified procedures are being followed.

Analysis. Case study number one indicates the individual interviewed functions as an executive meeting the criteria set forth in the model. In fact, his responsibilities include duties covering all seven points.

The notable item contained herein, consists of Major X's dual capacity as a line and staff administrator. The normal delineation of a position being either line or staff can not be made in this case. Instead, his position possesses activities in both areas.

Case Summary No. 2

Background. This executive holds the civil service rank of Captain in one of the largest law enforcement agencies in the country. He is located near the center of the organizational hierarchy with a number of ranks above and below his position.

The job is that of a line commander administering all police affairs within a police district of a large city, and one-hundred and seventy personnel work under his supervision.

The case study. Although this individual can be classified as an executive, limitations have been placed on his position with discretionary action only permissible in some areas.

Planning. The area of greatest limitation is that of planning. The police department has centralized planning operations; and, as a result, little is performed at the district level. Region commanders are not permitted to design preventive activities. He possesses no control over beat layouts and is not permitted to distribute or redistribute patrol vehicles under his command. The only discretion permitted involves the assignment of personnel. He may determine who shall be assigned to what beat(s).

Budgeting. His budgeting duties are also restricted. This is a centralized function of the department due to

administrative necessity. He is permitted to request items such as building repairs, increases in manpower, and additional equipment; but approval for expenditures must come from higher authority.

Appointing authority. The captain possesses discretionary powers in this regard. He can assign and reassign duties to employees under his direction as long as they relate to civil service classifications. It is permissible for him to ask that persons be removed from the district or assigned to it by name. Higher command makes the final decision. He has sole discretion in the appointment of vice officers and can change personnel engaged in this assignment at will.

Policy making. The function of the interviewee is advisory. In staff meetings with superiors, he makes his views known. Decisions come from higher authority. Those in a position to make policy actively seek his advice on matters affecting his district. Captain X was quite candid in stating that, while discretion in adopting minor policies is allowed, in reality it is difficult to act without approval from top side. He believes that enough latitude exists to allow a fair job to be accomplished.

Direction and supervision of manpower. A total of 170 sworn and civilian employees are under his command ranging in rank from lieutenants through clerks. These

people perform the many activities necessary to provide police protection in a large urban area. Discretionary duties are carried out by supervisory officers, and other personnel execute routine activities in the main. Both routine and discretionary duties are delegated through the chain of command with all subordinates accountable to the Captain for the proper performance of their duty. He, in turn, is accountable to his superiors for the administration of the district.

Recognized as responsible for major activity. The department recognizes him as responsible for the district, its men, and their equipment with an area of fifteen square miles. Often the citizens of the district seek assistance and explanations of department activity from him, and he is often asked to speak before local civic groups.

Concern for adequacy of performance. He authorized the development and use of an employee rating system developed by one of his subordinates. This allows supervisors to obtain a better composite of all employees in the district. Captain X believes the system to be an improvement aiding him in controlling his jurisdiction.

Analysis. This case summary describes an individual who can be classified from an organizational standpoint as an executive, but for explainable reasons does not exercise the full amount of activity described in the model. His

activity in the area of planning is limited to some degree. Throughout the remaining factors covered in the model, he performs in the capacities described therein. Captain X works within a highly specialized and structured police agency, and this factor probably accounts for the controls placed upon his position.

Case Summary No. 3

Background. This police executive holds the civil service rank of captain in a large county sheriff's police department. He is assigned to the job of commanding the administrative division and serves solely in the capacity of a staff officer. The captain is located near the apex of the organizational pyramid with a deputy chief, chief, and the sheriff himself above him in grade.

The case study. Captain X is responsible for administering staff duties as prescribed by his superiors. He is concerned with keeping the department running smoothly by overseeing various auxiliary functions. Six individuals work under his supervision, and he possesses technical supervisory authority over the whole organization.

Planning. He plans on a department-wide basis only when the scope of such plans involve staff problems. His planning duties are limited in this respect. Under his direction, the administrative division planned and instituted a new records system, established a data processing procedure

to keep track of fleet automobile costs, and developed methods centralizing the control of department property. He is free to develop other systems to aid in creating more efficient procedures.

Budgeting. The responsibility for the preparation of the entire budget rests with his office. He and his staff prepare the fiscal plan for the approval of the chief of police and the sheriff. This process includes compiling requests and their justifications from other command officers. Captain X possesses the authority to grant or refuse such proposals. Also, once the budget is approved by higher authority, his office becomes the department comptroller.

Appointing authority. This administrator can, within his own division, assign and reassign personnel at will, but such actions must coincide with civil service regulations.

In addition, he aids the County Merit Board in examining, screening, and hiring job applicants. Appointments are made from an eligibility list developed in liaison with the merit board. It is appropriate to note at this point, that the merit board only supervises the hiring, promoting, and firing of sworn personnel. Decisions involving civilian employees are discretionary on his part.

With the office of sheriff being political in origin, certain patronage positions exist in non-sworn capacities. Men and women come recommended for such work by political people. Captain X has the power to veto such appointments

if they are not in the best interest of the sheriff's police department.

Policy making. Within the confines of his area of responsibility, he is a policy maker. His office drafts rules and regulations which concern any number of things that set department policy. Prime examples would be the regulations governing the method of handling automobile accidents involving the department's vehicles and the establishment of department records and filing procedures.

Direction and supervision of manpower. In a supervisory capacity, his activity is limited, since six people work immediately under him. The span of his authority to direct personnel with regard to matters for which he is accountable is large. He is empowered to technically supervise all employees in such cases. This would include 178 sworn and 29 civilian employees for a total of 208 people.

The six individuals under his command range from a director of planning and research, who performs a number of important discretionary duties, to clerk-typists responsible for routine tasks.

Recognized as responsible for major activity. During budget hearings, he sometimes presents and defends monetary requests. He is responsible for all of the property owned by the sheriff's office, police and otherwise. Captain X maintains liaison between the police department and the sheriff's office as a whole and with other county offices.

Concern for adequacy of performance. Since most employees of the agency are not under his control, it is impossible for him to check their work personally. To insure proper performance, units of the organization are required to submit monthly reports, answer memos, reply to complaints, and submit to personal inspection.

Analysis. This staff commander falls within the criteria of an executive contained in the model discharging duties in all classifications described. He holds a staff position, and performs in these capacities only in relation to his specialty.

Case Summary No. 4

Background. A large state police organization located within a medium-sized state provides the backdrop for this interview. The executive is the commander of the records division and holds a civil service rank of captain. His assignment concerns work totally of a staff nature. He is responsible for the operation of the department's record system and, as such, directs the efforts of approximately eighty employees.

His rank places him near the top of the rank structure. He is directly accountable to the commissioner of state police for the proper performance of prescribed duties.

The case study. The scope of his job is limited, but within its confines he performs many functions.

Planning. The captain described himself as constantly trying to improve methods used by his division. To say that he sits down and works at a planning program would be an error. "It is a constant review." A good percentage of his time is spent developing future long-range innovations, as well as revising older procedures.

The planning function is specialized in the department. Captain X meets with a planning specialist as problems arise and explains the situation at hand. It becomes the responsibility of the planning agent to develop and recommend a solution. Proposed solutions are critiqued by the division commander according to their feasibility. If the changes contemplated involve other divisions, they are presented to the district commanders affected and their comments are sought. Plans are reworked in the light of their suggestions if practical.

While Captain X does not possess the entire responsibility with regard to planning and the mechanics involved, he does exercise a voice. This planning procedure is not used in solving routine problems. Instead, it is utilized in conjunction with matters of sizable magnitude and importance, e.g. computerizing departmental records. Items regarded as routine are planned and changed entirely within the division, e.g. form changes and filing procedure

modifications. Captain X has charge of this activity. Other division commanders are consulted if proposed changes affect their units.

Budgeting. It is his responsibility to develop and submit a budget request to cover the cost of operating his division each fiscal year. The request is forwarded to the business manager to be included in the overall budget. The captain delegates this activity, but reviews the draft prior to its submission. He has the authority to approve or disapprove requests made by his subordinates.

Appointing authority. He passes on all civilian and sworn personnel assigned to his division. A single individual is assigned this activity and makes the final determination in most cases. The captain is consulted if the subordinate deems it necessary.

Policy making. Full authority exists for him to formulate policy and policy changes inside of his division. If proposed changes conflict with department regulations, the captain must obtain the commissioner's approval. He is free to exercise his own initiative within these limits.

Direction and supervision of manpower. Eighty employees comprise the total compliment of the records division. Of these, four are sworn members of the state police department, and seventy-six are civilian civil servants. Some personnel from both factions perform

discretionary activities. A sergeant is responsible for employment interviewing, and a lieutenant, along with the same sergeant, work at preparing the yearly budget. Most civilian members perform routine duties, but a few serve in supervisory capacities.

Recognized as responsible for major activity.

Captain X is charged with maintaining all state police records and for storing certain data as required by law:

(1) files on persons having been convicted of a felony or serious misdemeanor and on well known or habitual criminals, (2) files on all persons committed to penal or mental institutions in the state, and (3) the fingerprints of the above individuals and of any person who requests his prints be put on file for purposes of identification. Occasionally, his appearance is required in court to testify in regard to these records.

Intra-departmentally, he is recognized as responsible for a major staff activity.

Concern for adequacy of performance. He has authorized the use of a system whereby all employees under his control are required to account for their time. Most of their duties have been time studied. The individual's work rate is recorded and compared with an average. If work time is devoted to performing jobs that cannot be time studied, close supervision is used. Work records are kept on each employee to insure proper use of daily activity.

Analysis. The interviewee falls within the scope of the model. However, his planning duties are limited due to the partial specialization of that function by the agency. With this limitation in mind, he stated that he is active in all seven classifications of the model.

B. Business Case Summaries

Case Summary No. 1

Background. The interviewee is employed by a medium-size manufacturing concern and serves the corporation as director of operations. He is answerable to two individuals: the president and general manager. The company is a subsidiary of a larger corporation, but it is permitted to carry on its activities independently of the parent corporation. This executive serves the enterprise in a line capacity with his major responsibilities resting in the area of production.

The case study. Mr. X, as head of operations, is an administrator who possesses a multitude of responsibilities and oversees the entire manufacturing process of the company. Upon receipt of an order from the sales division, his job is to regulate the purchasing of materials within a pre-planned cost structure and, subsequently, to schedule the manufacture of the vehicle. Further, he is responsible for building maintenance, and for the upkeep of all machines, tools, and

equipment. In short, it is his duty to see that customers get their product on time and built to their specifications.

Planning. Part of his position consists of developing a five-year projected plan covering such items as needs relating to new machines, building improvement and repair, and product development.

For purposes of more immediate planning, the concern maintains an executive staff board whose membership is comprised of five division heads. The interviewee is a member of this board. Its function is to inform each other on current problems and planned solutions. In this way mutual advice is received on a formal basis. Each executive is responsible for developing plans in relation to his job assignment. The thought behind utilizing the staff board is to provide all members with information pertaining to the organization's problems as a whole.

Budgeting. His activity in this area is somewhat restricted. Each production item is pre-priced in terms of expenditures for the material needed to build it. He oversees subordinates in this respect making sure that they stay within allotted costs.

Also, his office prepares annual estimates of capital outlay, and submits the appraisal to the parent corporation. Once they are appropriated, he is authorized to expend funds for approved items.

Appointing authority. He has full control over all areas under his jurisdiction with regard to personnel matters. Methods and procedures for handling hourly employees are fully delegated. Practices are different for prospective employees desiring supervisory positions. In such instances he interviews them personally after they have been approved by the employment manager and the shop superintendent. The final decision remains his to make.

Policy making. Policies are formulated in a unique way. Mr. X outlines his desires pertaining to what he would like initiated in the form of a memorandum. The memo goes to the desk of an IBM specialist who contacts all departments concerned, and writes a workable policy statement. Once in final form, the statement must be approved by at least two of the five members of the executive board. Usually all policies carry Mr. X's signature along with that of one other board member.

Direction and supervision of manpower. He is responsible for the direct supervision of six division superintendents: materials, purchasing, maintenance, sheet metal, product assembly, and engines. A large number of discretionary duties are performed by these men. Indirectly, his authority covers eighty foremen and twelve-hundred hourly employees.

Recognized as responsible for major activity. His job, as director of operations, is to see that ordered products are manufactured according to schedule and delivered to company customers. This responsibility entails supervising the entire manufacturing process from purchase of equipment and materials to final assembly and delivery. Additionally, he is responsible for building maintenance, capital expenditures, and the upkeep and replacement of equipment.

Concern for adequacy of performance. Employees are required to turn in time slips describing the work they performed and the time spent in doing so. The work slips are coded and fed through a computer, and the resulting efficiency report is transferred to the office of the operations manager. Departments with a low rating are required to answer for such performance. In this manner production levels are checked on a monthly basis.

Analysis. The executive interviewed serves his organization in a line capacity, and in doing so performs in all areas specified in the model. His budgeting activity is highly structured in reference to manufacturing, but it is liberal regarding capital expenditures. He exercises considerable discretion in all other activities.

Case Summary No. 2

Background. This business administrator is employed by a large public utility company, and serves them in the capacity of an area manager. His position is one of a middle manager as there are a number of ranks above him in the corporation. The activities for which he is responsible fall within a staff classification. He is one of a trio of executives who oversee all corporate activities within their assigned jurisdiction.

The case study. His job consists of several duties. Administratively, he is responsible for all commercial aspects of the company, all business contacts with its customers, the total public relations program, and the recruitment, selection, and placement of hourly employees within the Lansing area.

Planning. He is required to forecast future needs for the service provided by the company and for the development of programs aimed at improving the organization's public image. In forecasting needs, Mr. X contacts the land developers of the area. This allows his agency to keep abreast of growth in the metropolitan area, and assists the company in providing adequate service to their customers. Capital outlay for growth is governed by the amount and location of building activity.

The corporation contracts for a public opinion survey with an outside firm on a yearly basis. Through this medium

an attempt is made to determine customer attitudes. Using the results of the study, it becomes his job to chair a three-man committee whose function is to plan programs to counteract criticisms discovered during the poll.

Budgeting. Each fall the budget is prepared for the ensuing year. Supervisory employees throughout the chain of command are required to submit cost estimates for their particular operations to their superiors. Thus, all figures are funneled to the office of this executive. He drafts the proposal for his department and forwards it to district headquarters for approval. Once the fiscal plan is finalized, he oversees its administration.

Appointing authority. Hourly rated employees are under his span of control. He has the option of approving or disapproving their appointment or promotion. The transfer of salaried personnel takes place at a higher level and is not within his realm of responsibility. He is required to accept those transferred from other branch offices into his structure. Mr. X exercises a voice on such transfers through his superior.

Policy making. The administrator does not formulate company policy. The practices of the corporation, outlined in a practices and procedures manual, are specific and cover all operations. In essence, his function is to administer in the light of established standards.

Direction and supervision of manpower. This executive has the directors of the New Orders and Billing Departments reporting to him. They are allowed to exercise discretionary judgement in relation to their specialty. Other employees under his supervision perform routine duties. His supervisory control extends directly to two managers and indirectly downward covering two-hundred and fifty workers.

Recognized as responsible for major activity. A large part of this administrator's duties brings him into close contact with the public. He is responsible for maintaining liaison between the company and the community as a whole and is frequently in contact with service clubs, city officials, chambers of commerce, schools, other industrial organizations, and news media. It is his job to see that they are aware of the many services offered by his employer.

Concern for adequacy of performance. To assure adequate performance levels from all employees, the corporation operates an extensive personnel evaluation and appraisal plan. Observers set standards of performance and workers are measured according to them. Hourly employees are appraised twice yearly, and salaried personnel annually.

This executive personally rates the managers directly under his control and reviews the ratings of all other employees. If in his view a rating is unjust or extremely harsh, he has the power to undertake appropriate corrective action.

Analysis. The most notable item contained in this case study is the variety of staff assignments for which this executive is responsible. He is active in all areas specified in the model except one--policy making. Policy formulation is a process reserved to very high-ranking executives.

Case Summary No. 3

Background. The individual interviewed works as the advertising manager for a large insurance company. His formal rank is that of a department manager. This administrator serves in a staff position and does not participate in field activities to any degree. He answers directly to the secretary of the organization for his actions.

The case study. Specifically, his job is overseeing and directing all company advertising. In doing so, he supervises two different programs: (1) advertising geared toward the general public to improve the image of the enterprise, and (2) advertising aimed at independent insurance agents for purposes of obtaining a share of the policies they write for their customers. The methods used cover most forms of mass media communication. It is his responsibility to develop and maintain adequate programs in these areas.

Planning. With the aid of a professional advertising agency, he plans improved and/or new schemes. The above

firm is employed in order to obtain the services of specialists without actually having to outlay the costs of permanent employment. The interviewee explains what his desires are and leaves many of the details to the agency. He functions as overseer and coordinator. His superiors hold him responsible for all company advertising.

Budgeting. The operating budget for his department is set by a fixed formula. Annually, he directs a budget in excess of four hundred thousand dollars. Approval for expenditures from higher authority is required only if spending for the fiscal year exceeds the total appropriation.

Appointing authority. He selects people for positions in his department in cooperation with the personnel department. If at all possible, they are selected from within the company. He has the authority to accept or refuse applicants and has the final say in the matter.

Policy making. The position held by this executive is not one vested with policy making power. Usually the board of directors decides where and what items to advertise, and he is told to develop a program in conjunction with their decision. He reported that his realm of activity is mostly defined for him, and most of the arrangements required are his responsibility.

Direction and supervision of manpower. This particular administrator, supervises four individuals, and they

perform non-discretionary duties (magazine editing, order filling, and stenographic work). Indirectly, he technically supervises all company sponsored advertising for all agents.

The advertising agency exercises liberal discretion in the development of programs. The members of the agency are considered experts in the field, and he oversees their work and approves or disapproves of drafts prior to their use.

Recognized as responsible for major activity. His job assignment consists of overseeing the advertising activity for the entire company, while serving the organization in a staff capacity. The enterprise and its independent agents depend upon him for coordinating a well-rounded program.

Concern for adequacy of performance. He supervises his subordinates closely because they are few in number. It is possible for him to view their performance adequately in this manner.

Analysis. The executive's activities fit the model well in some areas and to a modified degree in others. He is engaged in activity which involves planning, appointing authority, the direction and supervision of manpower, and showing a concern for adequacy of performance. He exercises little discretion in the development of a budget or policy formulation. In short, his job is to implement the desires

of the board of directors regarding the specialty of his occupation.

Case Summary No. 4

Background. The executive questioned is employed under the title of general manager in a large retail department store. In this capacity he operates as secretary to the board of directors, corporation treasurer, and comptroller. His position places him as the second highest ranking officer in the organization, as the only office above him is that of the president. This man serves in a staff situation which is predominately financial in character.

The case study. He is concerned with what the seven divisions of the company spend more than what they do. Mr. X supervises the spending program of the entire organization. As secretary of the board of directors, he records the minutes of each meeting and keeps the corporate seal.

Planning. Planning responsibility rests with a five-man committee, and their function is to devise programs for future development. This executive, the director of personnel, the director of advertising, and two merchandising managers serve in this capacity. The committee plans and develops capital expansion programs along with general merchandising devices to improve the present standing of the store.

Budgeting. Because of the interest of his office in fiscal affairs, he formulates the monetary allotments for operating expenses. When the activity is of a non-revenue producing nature representing a fixed cost, it must operate within the budget prepared by this executive. Appropriations for revenue-producing departments (sales) are flexible. Instead of a budget a monthly purchase plan is developed using the previous year's experience as a guide. These plans are not static in the same manner as a budget, and changes to meet varying customer patterns are easily made.

Appointing authority. Together, the president and the general manager decide on the appointment of all managerial and supervisory personnel. This is usually performed through a review of applications and work records; and, occasionally, interviews are held with aspiring individuals. Division managers are consulted on all appointments within their departments. Final decisions are made by this executive and the president of the corporation. The hiring of hourly employees is a completely delegated task handled by the personnel department.

Policy making. The same group of individuals responsible for planning functions decides company policy as well. Meetings are held when needed, and decisions reached through general agreement.

Direction and supervision of manpower. His position being the second highest in the hierarchy, this executive is responsible for the finances of all divisions of the corporation. In regard to this specialty, he oversees seven division heads and allows them to exercise considerable discretion in running their respective departments. Technically, although seldom exercised, he possesses line authority to supervise all departments operationally.

Recognized as responsible for major activity. He is charged with maintaining the financial integrity of the company and supervises expenditures throughout the store. His stature as second in command of the entire organization makes his position an influential one.

Concern for adequacy of performance. This executive requires department heads to submit monthly reports for purposes of comparing them with the previous year's results. Since the major objective of the corporation is to realize a profit, success is judged on overall net gain for each department. When units fall below performance expectations, measures are introduced to correct the situation.

Analysis. The duties and responsibilities of this executive fall within all areas described in the model. His activities are largely financial in scope; but, on an overall basis, he participates as a member of a select committee responsible for planning future development and for formulating policy.

C. Summary of Comparative Discoveries

Police case study summation. The law enforcement officials interviewed serve their organizations in differing capacities. One administrator is active in line and staff responsibilities, another is solely a line commander, and two executives hold staff positions. Within the context of their individual assignments, they engage in performing functions that generally fit the seven categories of the model. One exception is noteworthy. The district commander in case study number two does not engage in planning programs within his agency. In addition, his authority to formulate policy is limited to offering advice only. Such restrictions are attributable to organizational structuring and not to the ability of the administrator to perform the function.

On an overall basis, and in view of the above exceptions, it is the opinion of the writer that the duties of the police executives studied conformed to the criteria set forth in the model.

Business case study summation. The business executives also served their organizations in varied assignments. Their duties tended to include many more responsibilities than did their police counterparts, and a line staff delineation is difficult to make. With the exception of case study number one, these individuals largely perform combinations of such duties. The author found it perplexing to

attempt to classify the remaining three business officials as line or staff.

Generally, the duties discharged by the business administrators coincided with all seven points of the model. Again, certain noteworthy exceptions were evident. The executive studied in case study number two was active only to a limited degree in the appointing of salaried employees and did not exercise a voice in the development of company policy. The advertising manager in case study number three was not vested with policy making powers. These two individuals proved to be the only examples in which the duties actually performed did not conform with those expressed in the model. Again, as in the police case studies, such variance is attributable to organizational structuring. The duties mentioned are performed at higher levels in the corporation.

In all other instances, the functions discharged by the four administrators studied fit the standards of the model.

Comparative findings. The research data uncovered during the course of the eight interviews indicates the positions compared to be quite similar to the model and, thus, similar to each other. This is not to say that the jobs and their content are the same. What it does mean, is that the executives performed like activities in meeting the

responsibilities of their respective positions viz. the functions contained in the model.

Exceptions were revealed in both spheres. They tended to center around planning and policy making duties and in one case covered appointing authority. However, the similarities clearly outnumbered the dissimilarities. In all cases, the reason for their being outside the discretion of the executive involved was not related to the ability of the administrator to perform the function. The reason is attributable to organizational structuring and specialization in the main.

Figure V is a chart listing the points of the model in comparison with the results of the eight case studies. If the administrator participated in the prescribed activity, a "yes" was entered in the appropriate box, the term "none" is used if he possessed no responsibilities within that particular duty, and the word "limited" entered if his activities were restricted in any way.

Figure V lends support to the major contention of this thesis. It indicates that the functions of executives from both factions bear a direct relationship to the model and, thus, to one another. In short, the case studies tend to support the hypothesis.

FIGURE V
COMPARISON OF CASE STUDY RESULTS

	POLICE				BUSINESS			
	Case Summary No. 1	Case Summary No. 2	Case Summary No. 3	Case Summary No. 4	Case Summary No. 1	Case Summary No. 2	Case Summary No. 3	Case Summary No. 4
Planning	Yes	None	Yes	Yes	Yes	Yes	Yes	Yes
Budgeting	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Appointing Authority	Yes	Yes	Yes	Yes	Yes	Limited	Yes	Yes
Policy Making	Yes	Limited	Yes	Yes	Yes	None	None	Yes
Direction and Super- vision of Manpower	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Responsible for Major Activity	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Concern for Adequacy of Performance	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

CHAPTER V

SUMMARY AND CONCLUSIONS

The review and comparative analysis of the police and business oriented literature reveal the duties and responsibilities of their executives to be parallel. Authors from both factions describe almost identical functions as being required of persons serving in executive positions. Some writers varied in their presentation of activities, but their listings contained a core of responsibilities differing only slightly from one another.¹

Research findings discovered as a result of the case studies also support the findings of the model. Using the model previously discussed as a guide, only one police executive did not engage in planning, one police administrator could not make policy decisions, a single business executive had limited authority to appoint personnel, and two business executives did not exercise discretionary activity in the area of policy formulation. In all other functions, the duties are directly comparative with those stated in the model for both groups.

¹See Figure III.

Conclusions. In the light of the information discovered through the review of the literature and field research, the hypothesis appears to be valid. The administrative duties of the police and business executive are very similar to the model and, therefore, similar to each other. It logically might follow that the skills necessary to perform them are analogous too.

Need for further research. The author does not maintain that this research effort is all inclusive or that the study was intended to be completely exhaustive. It is merely a pilot study designed to test the validity of the hypothesis.

There exists a definite need for further quantification and qualification. It is recommended that future research efforts perhaps include the following:

1. Use of a more detailed model to insure greater comparison.
2. The addition of more case studies in greater depth.

A question for the police field. The discipline of business administration has recognized the fact that operational and administrative functions bear no direct relationship to one another in terms of the skills and abilities to perform their respective tasks. Industry's view has been that an administrator does not have to learn operations to the extent of a practitioner--adequate familiarization is all that is necessary.

This forward look has resulted in the recruitment and employment of future administrators at a "junior executive" level and their following of a preplanned program designed to develop administrative ability. The underlying idea is to assure the corporation a pool of manpower from which future administrators can be drawn as the need arises. In other words, the organizations maintain and operate a program of executive development.

This thesis has shown the duties of the police and business executive to be analogous, and the writer would like to know: Is the police field taking steps in a similar direction?

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