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Research Project Final Report

Community Policing Stage Assessment Model for

Implementation Planning and Organizational Measurement

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FINAL REPORT

Community Policing Stage Assessment Model for Implementation

Planning and Organizational Measurement

THE GROWING TREND IN THE USE OF THE COMMUNITY-ORIENTED PROBLEM-SOLVING POLICING APPROACH

The community-oriented problem-solving concept is becoming the accepted model for policing and is being adopted by many police agencies across the nation. As stated in Herman Goldstein's foreward in The Challenge of Community Policing (Rosenbaum, 1994), "community policing is now a household term". In a recent National Institute of Justice study, Sadd and Grinc (Implementation Challenges in Community Policing, 1996), begin with "Community policing could arguably be called the new orthodoxy of law enforcement in the United States". Again, from Rosenbaum's book (the chapter on "Can Today's Police Organizations Effectively Implement Community Policing?"), Roberg indicates that "community policing, in one form or another, appears to be a "done deal"."

Most of these researchers (as well as numerous others) also indicate that "community policing" as a concept is still in the process of evolving (in terms of a universal definition), and often incorporates a role for the problem-oriented policing ideas (Goldstein, Problem-Oriented Policing, 1990) as well as elements of the "community problem-solving era" as described by Kelling and Moore (NIJ Perspectives on Policing Series, The Evolving Strategy of Policing, 1988). Some of these elements include demand management, measured outcomes, and organizational design as well as the external relationships between the police and the community. As Herman Goldstein notes (The New Policing: Confronting Complexity, NIJ Research in Brief, December, 1993), "Indeed, the popularity of the term has resulted in its being used to encompass

practically all innovations in policing, from the most ambitious to the most mundane; from the most carefully thought through to the most casual."

(Recognizing the many different interpretations of the new model, and lack of a currently accepted definition at, the "community policing" term will be used in this report to include the ideas of community involvement; an expanded role for the police; systematic; problem-solving; a focus on outcomes; and organizational changes. The use of this term is in no way intended to limit the philosophical or programmatic content of the new approach to policing.)

More importantly, many of these researchers (and others) are also noting the difficulty that police agencies are encountering in the implementation of their respective community policing programs. This issue has been identified in detailed case studies as well as national surveys. For example, Sadd and Grinc studied eight separate cities and reported " One of the most significant findings -- but one that may not come as a surprise -- was that early stages of implementing community policing are not easy." for all eight jurisdictions . (Sadd and Grinc, 1996) Weisel and Eck also studied community policing initiatives in six cities, and found that "Despite the widespread variation in the form of community policing being implemented, questions related to implementation largely dominate many organizational efforts,". (reported in "Toward a Practical Approach to Organizational Change: Community Policing Initiatives in Six Cities, Rosenbaum, 1994; and as a PERF publication, Themes and Variations in Community Policing, 1996, a NIJ grant project report.)

The results of a recent National Institute of Justice survey (Wycoff, Mary Ann, Community Policing Strategies, Research Preview, 1995) of 2314 municipal and county police and sheriff's departments indicated that "Almost half the respondents had either implemented community policing (19 percent) or were in the process of doing so (28 percent)." However, it was also noted that "Almost half (47 percent) of the police chiefs and sheriffs were unclear about the practical meaning of community policing." With respect to implementation issues, the "importance of taking a long term view of the change process" was noted as a "lesson learned" from their initial experiences.

Another national survey was conducted by the (National Center for Community Policing (U.S. Department of Justice and the Federal Bureau of Investigation), Community Policing: A Survey of Police Departments in the United States, 1994) and reported that "The vast majority of both large and small city police departments say they are either practicing community policing or are about to start it." However, it also states that "There is no police agency that has instituted community policing throughout the whole department, because it will take a tremendous commitment and is a lengthy process." The report also stated that almost eighty percent of the responding agencies indicated that they had spent twelve months or less planning for community policing before it was 'implemented".

In describing the transition to the new community policing model, 2hao reports that a review of the available literatur suggests that there is no clea r concerns among scholors us to the extent of organizational change acutally taking place among police aencies, with respect to either the depth of sincere commitment to change among police managers or the breath of implementation in those agencies...(2hao, 1996) It seems clear, that while the new community policing concept is everywhere, numerous and significant issues about the new approach, planning and implementation tasks, and measurement problems, still confront many (if not most) police officials in the country.

SEATTLE'S EVOLVING COMMUNITY POLICING PROGRAMS

The Seattle Police Department, where I have served as manager of research and planning during much of the agency's developmental work on our community policing programs, is seemingly in a similar position to that of others attempting to implement the new community-oriented problem-solving model. After the initial collaboration with community groups, a number of programs were tried with various degrees of success (and some clear failures). Since the late 1980's, department personnel and citizens have been developing and implementing a concept based on the "community police teams" approach with specially trained officers. The Community Police Teams have been coordinating and working with hundreds of community groups on a wide variety of crime and disorder issues.. There are numerous separate programs operating throughout the city, and an extensive and comprehensive training effort is under way. An in-

house evaluation found a high level of satisfaction with the program on the part of citizens and police personnel. (The programs are explained in detail in "Community Policing in Seattle", Fleissner, Fedan, Stotland, and Klinger, 1991 a descriptive research project funded by NIJ.)

However, even with years of experience with community policing concepts and programs and working with officers in the field and citizens about their priorities, it is still difficult to determine if Seattle is "doing" community policing. In addition, many people in the department have little or no clear idea of how the community policing approach is intended to work or how they fit into the overall plan. The Seattle Police Department currently has a number of task forces assisting with planning for the implementation process and is working to develop a more specific and workable definition of the new approach. The objective is to prepare a plan to integrate the problem-oriented approach into everyday operations as well as facilitate coordination with other city agencies and the community. This situation appears to be typical of most police agencies with advanced community policing programs.

THE DIFFICULTY IN DESCRIBING AND PLANNING FOR A MOVING TARGET

Part of the problem in determining if Seattle is successfully implementing community policing (and how it compares to other cities with a strong commitment to the new model) is that the new approach is very complex and involves a myriad of activities or components under the umbrella of a problem-oriented model. These include training, the role of officers and mid-level supervisors, the use of technology, and how the new approach should be evaluated, to name a few. In addition, the components of the new community policing approach have changed over time as the implementation process took place. For example, the requirement for training police managers and officers (and other city agency staff and community representatives) has changed as the department became more sophisticated about the nature of the organizational changes needed to implement the new concept. Sending a few officers to conferences turned into an intensive one-week training program for the community police team officers, which has now evolved into a comprehensive training program for all department employees (sworn and civilian), other city staff and citizens.

Accordingly, it is more useful to describe the community-oriented problem-solving policing effort, with its numerous components and activities, in terms of how each has changed over time and where Seattle ISth respect to "complete implementation of a well defined approach". While this type of explanation is more accurate with respect to how Seattle is "doing" community policing, it is also very time consuming and difficult to follow and/or understand. However, if the programmatic changes over time could be viewed as a series of standardized phases or stages, the implementation process would be easier to illustrate and explain.

Based on a review of the progress in various community policing programs around the city of Seattle, and investigation of change process literature from other fields, it appeared that the Seattle Police Department was in reality going through a number of developmental or implementation stages. The logical next step was to identify and verify the existence of stages; this finding could then serve as the basis for an implementation framework to analyze the transition process to the community policing model from a number of perspectives. Also, if a model of development changes was verified, it could be used for organizational measurement, This would enhance understanding of the new approach to policing and facilitate its refinement and implementation.

EXAMPLES OF THE DEVELOPMENTAL STAGE CONCEPT FROM OTHER FIELDS

There are examples of the use of stages or benchmarks for policy and program implementation in several other fields. In the educational field there are two related research areas that are labeled as the "concerns-based approach to facilitating change" (Hall, 1979) and the "levels of use of the innovation: a framework for analyzing innovation adoption" (Hall, Loucks, Rutherford, and Newlove, 1975). One of these stage models has seven levels, including:

* Non-Use

* Orientation

* Preparation

* Mechanical Use

* Routine

* Refinement

* Integration

* Renewal

Another example of a stage model can be found in the data processing field, and was developed by Nolan, Norton & Company, Incorporated. This model has four stages, as follows:

* Initiation

* Contagion

* Control

* Integration

These stages explain the growth process for a company as it becomes more sophisticated in its use of computer technology. It passes through these stages in terms of developing user awareness, planning and control of data processing systems, and eventually to building integrated on-line applications.

Another example of stages is from a 1992 General Accounting Office (GAO) report "Quality Management: Survey of Federal Organizations, Briefing Report, 1992) about the implementation phases for the Total Quality Management (TQM) ideas, and included five stages:

* Decide whether to implement

* Just getting started

* Implementation

* Achieving results

* Institutionalization

Appendix A describes these models in more detail. Several explanatory charts are also included.

FOCUS OF RESEARCH ABOUT THE COMMUNITY POLICING STAGE ASSESSMENT MODEL

A research project was funded by the National Institute of Justice to study the validity of a stage assessment model concept for organizational change to the new community policing model and its applicability for police agencies. The research plan included identification of several advanced community policing cities (based on the information in existing cases studies and recommendations from NIJ staff) and documentation of their transition to the new approach. On-site visits would then be conducted to specifically examine (verify and document) if these cities progressed through a set of developmental stages.

The research plan was initially based on the hypothesis that there are four developmental stages, including:

Stage 1: Awakening/Exploratory

The initial stage involves discussions among citizens, police, and city officials about what community policing is; how to get started; and why a new approach is needed. During this stage police, city officials, and/or citizens realize that there is a new set of ideas to consider for providingthe public safety function.

Stage 2: Awareness/Experimental

Various community policing programs and tactics are started, often involving foot patrols and police teams (with specialized training); initial community policing and/or problem-solving efforts typically involve teams of officers and citizens and/or concentration on specific geographical areas of the city. This stage involves pilot projects and learning about the new ideas and community policing programs.

* Stage 3: Understanding/Commitment

After trying various community policing programs, establishing communication with citizens, and learning how to develop working partnerships, this stage involves realization of the magnitude of the organizational and managerial changes needed to accomplish an effective community-oriented problem-solving program throughout the police agency and the entire jurisdiction; the police department typically needs to be restructured to fit the new mission of the organization; and extensive training is undertaken for all police employees and staff from other public-sector agencies and the public (especially those involved in problem-solving teams).

Stage 4: Proficiency/Institutional Community Policing

This final stage is achieved when the new policing approach is finally institutionalized throughout the entire police department and other city agencies, with the community as a full partner; policies and procedures are revised to facilitate inter-departmental problem-solving teams and ongoing communications with the community and business sectors; problem-solving projects become more targeted and comprehensive, and involve continous efforts to improve and enhance the overall police/community partnership. Flexibility, change and innovation are constant and expected aspects of a mature community policing department.

It was also hypothesized that few, if any, police departments were at the Stage 4 level in their transition to the community policing approach. There are examples of many police departments that are committed to community policing, have comprehensive training programs, and have achieved significant results in terms of a new strategic direction. However, when the notion of developmental stages is introduced into the implementation process, a set of targets or expectations can be defined to provide a way to measure

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progress. Assuming some validity to the concept of developmental stages and their relevance to the police field, it appears that even the most advanced police departments still are involved in fine tuning their community policing "programs", and that these programs are not yet viewed as standard operating procedures throughout the agency and jurisdiction.

Another aspect of the research concerned the various components or activities that are part of the overall community policing model, and how they change over time as an agency passes through the developmental stages. A number of components (sometimes described as elements in other reports) are suggested, including an "idealized" level of performance for each as part of a stage assessment matrix. Examples of various components or elements of the community-oriented problem-solving approach include:

* Management Philosphy

* Training]

* Planning

* Financial Planning and Budgetary Control

* Organizational Structure

* Use of Technology

* Evaluation Approaches

* Problem-Solving Approaches

* Police/Community Partnerships

* Communications with Community Groups and Citizens

* Communications with City Agency Staff

* Level of Creativity in Problem-Solving

* Role of Police Officers

* Long Term Assignment of Officers to Neighborhood Areas

* Police Officer Deployment

* Personnel Performance Measures

*

Appendix B describes a stage assessment model matrix; an example of the stage development (using the initially proposed stage terminology, which have been revised after the on-site research) for two separate components is presentedon the following pages.

Community Policing Stage Assessment Matrix

Development Stage   Program Components/Elements

Stage 1 Awakening/Exploratory	Problem Solving Approach	Program Evaluation
The initial stage involves discussions among citizens, police, and city officials about what community policing is; how to get started; and why a new approach is needed. During this stage police, city officials, and/or citizens realize that there is a new set of ideas to consider for providing the public safety function.	General discussions about how projects are selected are held between the police and citizens; concerns about involvement of citizens and security issues; concerns about police workload and limited resources; little or no interaction with the public about problems	No specific evaluation questions are considered relevant at this time; basic process evaluations of planning and information gathering timeliness (if formal project designation) are considered

Development Stage		Program Components/Elements
Stage 2 Awareness/Experimental	**Problem Solving Approach**	**Program Evaluation**
Various community policing programs and tactics are started, often involving foot patrols and police teams (with specialized training); initiai community policing and/or problem solving efforts typically incolce teams of officers and citizens and/or concentration on specific geographical areas of the city. This stage involves pilot projects and learning about the new ideas and community policing programs.	Initial problem-solving meetings involve how to set agendas/select problems and procedures; solution approaches reflect little creativity or involvement of other (non-police) resources; feedback on outcomes requested by citizens, but are viewed as time consuming tasks by police	Process evaluations and tracking of activities; limited reports of actions/successes of problem solving projects; initial use of "customer" surveys to identify needs/priorities, and satisfaction.

Development Stage	Program Components/Elements	
Stage 3-Understanding/Commitment	**Problem Solving Approach**	**Program Evaluation**
After trying various community policing programs, establishing communication with citizens; and learning how to develop working partnerships, this stage involves realization of the magnitude of the organizational and managerial chages needed to accomplish and effective community-oriented problem-solving program throughout the police agency and the entire jurisdiction;	Working relationships among police, citizens/other city departments are built on trust and respect; problem targets are selected by community; long-term problems are addressed; the level of creative and innovative solutions increases; amount and quality of analysis increases	Develop outcome/impact measures for performance evaluations tied to goals; use extensive customer surveys to assist priorities and satisfaction with results of city/police efforts

Development Stage   Program Components/Elements

Stage 4 - Profeiciency/Institutional Community Policing	Problem Solving Approach	Program Evaluation
This final stage is achieved when the new policing approach is finally institutionalized throughout the entire police department and other city agencies, with the community as a full partner; policies and procedures are revided to facilitate inter-departmental problem-solving teams and ongoing communications with the community and business sectors; problem-solving projects become more targeted and comprehensive, and involve continous efforts to improve and enhance the overall police/community partnership. Flexibility, change and innovation are constant and expected aspects of a mature community policing department.	Joint city-wide problem solving program involves regular meetings and an open communications process; private sector and regional resources are part of process; coordinated service delivery is city-wide standard	Continuous process, impact and project monitoring part of normal operations; constant "fine tuning" of performance measures with focus on service improvement is standard procedure

ON-SITE VISITS TO REVIEW COMMUNITY POLICING PROGRAMS

Four city police departments were selected for intensive on-site data collection, including Boston, Massachusetts; Charlotte-Mecklenburg, North Carolina; St. Petersburg, Florida; and Tempe, Arizona. These police departments all have been working for a number of years to implement the new community policing approach. Based on the review of available case studies in the literature, discussions with NIJ staff and researchers, the current grant programs in the cities and other noted city-wide innovative governmental efforts (e.g., Charlotte's performance measurement & customer service focused budgetary process), all of these locations exhibit significant progress in changing their organizations within the scope of the new community policing model definition used in this report, which includes the ideas of community involvement; systematic problem-solving; an expanded rate for the police; a focus on outcomes; and organizational and management changes.

AN OPERATIONAL DEFINITION OF COMMUNITY POLICING

As noted above, the term community policing typically covers a broad range of activities, and therefore determining an urgency's "stage" can be a subjective decision. Accordingly, in order to provide some measure of objectivity in reviewing each department's programs, a number of the basic models of community policing were reviewed to identify their major elements or components. These models include:

> * Kelling and Moore, from the NIJ Perspectives on Policing series, "The Evolving Strategy of Policing", 1988
>
> * Trojanowicz and Bucqueroux, from various publications by the National Center for Community Policing, University of Michigan
>
> * Bureau of Justice Assistance, as part of the "Understanding Community Policing: A Framework for Action", 1994
>
> * Goldstein, from "Problem-Oriented Policing", 1990, and several of his articles about the problem-solving model

Each of these models was reviewed and a list of the elements or components was constructed. These components, in turn, were organized into major categories or "core ideas" about the new policing model, as follows:

* Link with the community

* Expanded/broadened role and function of the police

* Systematic problem-oriented approach

* Focus on outcome measures and results

* Management and organizational changes

Appendix C contains the overview of these models and the detailed listing of the individual elements that each described. It is clear that there are other models or concepts of community policing that could be reviewed, but a complete review of all possible models is not necessary for the purpose of constructing a tool for data collection and measurement of organizational change. In addition, these four models provide a broad perspective, and include the most commonly accepted elements of the new community-oriented problem-solving approach. These five core ideas about community policing were used as reference points for the review of each police department status in implementing their respective models.

DATA COLLECTION PROTOCOL

The data collection protocol was based on documenting the agency's progress on these factors as well as determining the following:

* who was /is involved in planning activities

* who was/is involved in implementation activities

* identifying the dates that major shifts in implementation and/or programmatic development occurred

* the impact (if any) of these organizational shifts and an indication of whether they are permanent or transitory

POLICE DEPARTMENT IMPLEMENTATION HISTORIES

A brief description of each police department and their community policing programs is presented in the following sections. Only the major characteristics of each department is covered (as opposed to a complete listing of all ongoing activities) with the focus of how each agency has made the transition to the new model of policing they had each charted for themselves. There is no intent to rate or compare each department's individual program in terms of overall effectiveness or success. However, by definition each of these agencies was identified and selected because of the extensive effort and apparent progress of their community policing programs.

These descriptions are based on available case studies, materials provided by each department, and interviews with personnel from each department. The interviews included the chief, several members of the command staff, and employees involved in the implementation process. In addition, a variety of other people, including officers and supervisors, planners and researchers, and program directors, were interviewed at each site.

Boston Police Department

The Boston Police Department has about 2740 personnel (1920 sworn, not including recruits and probationary officers, and 820 civilian) and has labeled their model as "Neighborhood Policing". Interest in community policing began in the early 1990's, and in the spring, 1992 the Police Commissioner instituted an intensive three-week training program and subdivided the city's five existing operational areas into ten districts (an eleventh was subsequently added). The initial training program included about 150 personnel, and now all sworn personnel receive training in the neighborhood policing concepts. During 1992 one district conducted a community survey, and in 1993 the notion of the "beat team" was started in some of the districts (beat teams operate in all districts). A beat team is composed of a rapid response car, a service car, walking officers, a sworn Community Service Officer, and detectives. The team also includes an area-wide service unit to assist with problem-solving efforts. Each district is divided into a number of sectors (average six) with a sergeant responsible for supervision of each sector. There is some variation throughout the city in how the teams are staffed depending on the size and nature of the communities, and the specific

types of crime problems. Each shift is the responsibility of a lieutenant, who is expected to develop

problem-oriented operational plans and provide coordination among the three shifts.

The current Police Commissioner, Commissioner Evans, was appointed in February, 1994, and made the

commitment to "decentralize" responsibility and authority for each district (as opposed to the previous

orientation around operational areas). The captain in charge of each district was viewed as the "police

chief" with flexibility to meet the expectations of their respective districts. During that year the

comprehensive strategic planning and community mobilization process was begun. Essentially, sixteen

separate plans (one for each district and five key areas of the organization such as internal investigations

and the special operations division) were prpared and make up the City-wide Strategic Plan. The concept of

Neighborhood Policing consists of "partnership, problem solving, and prevention". The planning process

culminated in July 1996 with the publication of the individual plans (by the Office of Strategic Planning and

Resource Development).

The planning process involved extensive input from the communities, and each district formed a

Neighborhood Advisory Council. Starting in 1993 the Office of Research and Analysis began work on a

city-wide customer service survey, and the first was conducted in 1995 (with the next scheduled for 1997).

In February, 1996, Commissioner Evans initiated "crime analysis review meetings", which are held every

two weeks. During each of these meetings several districts and a special unit of the department (on a

rotating basis) are highlighted with a review of their crime patterns, neighborhood problems, and action

plans to address these situations. All district captains attend these meetings, and the focus of each review is

to support the idea of attacking "targeted crimes" and to exchange information among the district personnel

about new ideas and what works in different situations and conditions. Currently, trend and crime analysis

data is provided by the Office of Research and Analysis, but there are plans to provide data processing

capability to each district in order to facilitate more current and comprehensive crime analysis.

The idea of each district being a separate "police department with its own chief" is now ingrained in the

Neighborhood Policing concept, and each captain apparently has the flexibility to design programs and anti-

crime efforts based on the needs of his or her district. This flexibility appears to be a logical ingredient of

the Commissioner's aim to decentralize services and responsibility and is viewed as vital to addressing different needs throughout the city. However, not all districts are making progress at the same rate in terms of the customer-service idea, and many districts are still struggling with the idea of sector integrity (the department target is for personnel to remain in their respective beats for sixty percent of the shift) and how to make it work with respect to responding to the 9-1-1calls for service workload. In addition, it is reported that not all officers are "buying in" to the notion of risk-taking when it comes to problem-oriented policing in partnership with the citizens. Also, as noted, each district needs more data processing capability at the district level to assist with problem identification and analysis tasks.

The stage model transition time frames for Boston appear as follows:

∗ Stage 1 Awakening/Exploratory--Started in the early 1990's and lasted for almost two years

∗ Stage 2 Awareness/Experimentation--Started in 1992 and lasted for about two to three years; it involved the initial training programs, sub division of the city into districts, the use of community surveys, and the pilot efforts with the beat team idea.

∗ Stage 3 Understanding/Commitment--Began in the 1994-95 period with the appointment of Commissioner Evans and his emphasis on geographic "police chiefs" with autonomy and responsibility, and the start of the comprehensive neighborhood-based strategic planning process.

∗ Stage 4 Proficiency/Institutional Community Policing--Community Policing, began with respect to several functions during 1996. Police - community relations and communications; the strategic planning and community survey process; the management philosophy of geographic responsibility combined with operational flexibility; and the concept of team assignments to neighborhoods are all functions of community policing that appear to be functioning at the stage 4 level.

Charlotte-Mecklenburg Police Department

The Charlotte-Mecklenburg Police Department is responsible for the city of Charlotte and the police services for Mecklenburg County, and has about 1655 personnel (1300 sworn and 355 civilian). In 1991 the city manager became interested in the new community policing idea and the concept was discussed at a meeting involving twelve managers and officers from the department. Several members visited other police departments, and in 1992 a pilot project was started in one of the city's districts (C1).

District C1 was selected in part because of its high crime rate and about fourteen officers and supervisors were hand-picked to start using a community policing problem-solving approach. A team approach was part of the model, and a satellite office was established. The team developed its own training program, and meetings were held with police personnel to discuss feasible tactics and with other city agency staff to plan for coordinated services. After the pilot project, which lasted about thirteen months and was viewed as a success, the idea was expanded into two other districts (A2 and A3).

The current chief, Dennis Nowicki, took command in April, 1994, and has pushed for implementation of the new approach. Currently the Neighborhood-Based Problem-Solving model is operational in all areas, and the three basic components are "communications, problem-solving, and partnerships". Each district is the responsibility of a sergeant (one per shift), and the duties include "running the shift" as well as problem-solving tasks. Each district team has calls-for-service officers and a Neighborhood Community Police Coordinator. The early in-house training course has now evolved into a formal training program involving the SARA problem-solving model, and the Police Executive Research Forum (PERF) has provided training for the department. In 1995, Chief Nowicki instituted a District Report Card "in an effort to simplify and standardize the method of patrol districts reporting their own effectiveness", as a tool to measure and evaluate the efforts of each district (which vary based on the needs of the area and community).

From an organization-wide perspective, there are a number of developmental efforts in progress, and all are basically focused on supporting the needs of the officers in the neighborhoods doing community policing and problem-solving. These programs include process mapping and re-engineering work, which will feed into redesign of the records management system; a new computer-aided dispatch (CAD) system development project is also currently under way. The district report card plan is also an agency-wide effort, with the design of activity as well as process and impact measures of effectiveness as stated goals.

There appears to be a consensus that more training is needed (despite the extensive program already in place) to support the neighborhood problem-oriented focus of the department. There is also some concern that some officers are "not ready to accept" or "don't understand" the potential of the participatory philosophy embodied in the neighborhood problem-oriented approach. Overall, however, the Charlotte-Mecklenburg Police Department is implementing their new concept in a well-planned and comprehensive manner. In addition, the police department's efforts in this area are well integrated into the entire city's concept of "Neighborhood-Based Problem-Solving: Customer Service for Neighborhoods", which is the governing concept for the city of Charlotte.

The stage model transition timeframes for the Charlotte-Mecklenberg Police Department appear as follows:

* Stage 1 Awakening/Exploratory--Started in 1991 when the city manager and police jointly discussed the new concept and sent a team to visit other city community policing programs.

* Stage 2 Awareness/Experimentation--Began about one year later in 1992 when the pilot community policing project was started in one district with a hand picked crew of officers and supervisors.

* Stage 3 Understanding/Commitment--Began in 1994 with the appointment of a new Chief of Police and his efforts to expand the neighborhood based problem-oriented program throughout the city in a systematic and comprehensive manner.

* Stage 4 Proficiency/Institutional Community Policing--Began during the 1995-96 period

  for a number of functions. These include the management philosophy (geographic responsibility with

  team approach and participatory management); comprehensive planning; community partnerships and

  communications; planning for comprehensive problem-oriented information systems support; and city-

  police department cooperation on the problem-oriented approach.

St. Petersburg Police Department

The St. Petersburg Police Department has about 720 employees, with 512 sworn and 208 civilian staff. The

agency's "awareness" of community policing developed during the 1988-89 timeframe. In November,

1990, a Community Policing Division was formed and in August, 1991, a "Community Policing

Implementation Plan" was prepared (with assistance from several other city departments). This plan laid

the groundwork for the Community Problem-Solving Policing approach, and during this period all

personnel were trained and the basic vision of community policing was set. The city's traditional three

police districts were subdivided into 48 Community Police Areas (CPAs), with officers "assigned to each

CPA to work with citizens to identify, prioritize, develop and implement solutions to resolve problems."

Also, during 1991 a pilot project was started in one of the city's public housing projects.

The current chief, Darrel Stephens, took command at the beginning of 1993, with the commitment to

continue and expand this effort. Chief Stephens had been the chief of the Newport News Police

Department, where the seminal work on the problem-solving approach was started as part of a PERF

research project, and subsequently served as Executive Director of PERF. In 1994 the Geographic

Deployment/Sector Command plan was piloted for six months, and then expanded to the entire city in

August, 1995. The Geographic Deployment/Sector Command plan was intended to focus on working with a

CPA on an around-the-clock basis, not just on a shift approach. The goal is "To involve all levels, officer,

sergeant, lieutenant and major, in taking the initiative to work together as a team to solve problems in their

assigned area of responsibility 24 hours a day, 7 days a week."

Each Community Police Team includes one community police officer, three to five patrol officers responsible for twenty-four hour per day coverage, one sergeant who supervises one or two CPAs, and a lieutenant who supervises three or four sergeants. The chain of command (viewed as part of the team) includes a major (serving as district commander, over three lieutenants), with detectives from the Investigative Services Bureau as team members. Representatives from other city departments and "neighborhoods members" are also viewed as part of the team.

The department's 1996-2000 Strategic Plan describes the myriad of programs aimed at working with youth, organizing the community (involving VISTA community service members), expanding the "geographical accountability" and decentralized emphasis of the deployment plan, the plan for substations, and the manner in which new technology will be used to support problem-solving. The department, however, is going through some growing pains. Implementing the geographic Deployment/Sector Command plan uncovered some unforeseen problems in coordination between CPAs and supervision on an around-the-clock basis. Also, facilitating and managing the Community Police Teams, and to get them to function as teams, is taking longer than expected. The basic concepts of geographic responsibility, a team approach to problem solving, and working with the community, however, are well established and are being continually strengthened.

The stage model transition timeframes for St. Petersburg appear as follows:

* Stage 1 Awakening/Exploratory--Started in the 1988-89 time period with general discussions about the new model.

* Stage 2 Awareness/Experimentation--Began in 1990 with the formation of a Community Policing Division, and in 1991 an implementation plan was prepared and a pilot project was started in a city public housing project. Community Police Areas were also designated during this time.

∗   Stage 3 Understanding/Commitment--Started in 1993 with the appointment of a new chief well grounded in the problem-solving approach and intent on addressing the "geographic accountability" issue. A second community survey was conducted (1994) and a Geographic Deployment plan was piloted (1994) and expanded citywide (1995).

∗   Stage 4 Proficiency/Instititional--Community policing began during the 1994-96 time period for several functions. Indicators of this new stage include: a new management philosophy (which the new chief introduced when he arrived in 1993); refining the geographic deployment concept; long-range planning; open communications with the community (and access to department information and the department's approach to problem-solving.

Tempe Police Department

The Tempe Police Department has about 371 personnel, comprised of 256 sworn and 115 civilian staff (not including 14 grant-funded positions and about 150 volunteers). This agency became aware of the new community policing approach in the 1988-1989 period, and visited other police agencies to assess the nature of the new programs. In 1990 the "Beat 16" project got under way, which focused attention on one particular area of the city. This project was funded by a Bureau of Justice Assistance grant (Innovative Neighborhood-Oriented Policing program or INOP), and NIJ subsequently funded an evaluation of the project (Sadd and Grinc, 1996).

In 1990 the Institute for Law and Justice completed a study of the department and recommended more community policing activities. In mid-1993 the pilot effort in Beat 16 was expanded city-wide. During this period the department was energized by the attention that the grant was affording its efforts, and a number of other supporting projects were started. These include development of a selection and hiring process (as part of the overall human resources program) based on the personnel skills needed for operational and supervisory staff involved in the new community policing approach. Also, the crime prevention program, incorporating the crime prevention through environmental design (CPTED) ideas, was formalized and expanded. Training programs, which initially had been developed in-house, were expanded using outside staff, and extended to all personnel. The SARA problem-solving model was the basis for much of the training given to officers and supervisory personnel.

When the community policing philosophy was extended throughout the city the department also switched to a new geographic deployment model, with the notion that all personnel in a particular beat would be responsible for problem-solving and community policing activities. This approach was called "assignment-alignment". This plan, however, was withdrawn after one year of operation due to a number of concerns about how services were being delivered.

In January, 1994, the current chief of police, Ron Burns, assumed command. He re-focused the department, using the strengths of the programs and vision of the two previous chiefs, based on an emphasis

on a balanced approach involving basic services, problem-solving, and community involvement. The

foundation of the approach is provision of quality basic services to citizens. The team idea has been

retained for the geographic beats, with shift sergeants and a "beat sergeant" assigned (with flexible

schedules) to assist with problem-solving and coordination of personnel activities. There are also Patrol

Resource Officers (PROs) assigned to the beats, and they typically have flexible day-shift hours to allow

them to concentrate on crime prevention tasks.

The importance of working with the community has remained an emphasis of the community policing

program, and there are numerous meetings and crime prevention-related contacts with the public. In

addition, there are yearly beat forums which are attended by the chief of police, support staff, and beat

personnel, as well as citizens and residents of the particular area. The department has operated a formal

citizens police academy for about eight years (a ten-week course) and also has an extensive program for

volunteers.

The Tempe Police Department is currently striving to fine-tune the coordination and communication needs

of their community policing program, both within the department and with other agencies in the city, to

improve their capability to provide basic services and problem-solving. They are also still grappling with

how best to document and measure their problem-solving activitie; and how to maintain enthusiasm for their

extensive crime prevention program. There is also a growing emphasis on the use of technology, including

crime analysis and a new records management system, to support the key field operational areas.

The stage model transition time frames for Tempe appear as follows:

* Stage 1 Awakening/Exploratory --Started in the 1988-89 time period with the department

    sending a team to look at the community policing programs in several other cities.

* Stage 2 Awareness/Experimentation--Began with a BJA funded pilot project in Beat 16 in

    1990, which was evaluated and subsequently expanded city-wide in 1993. An extensive crime

prevention program was developed during this period and the human resources program and process (hiring, selection, testing, evaluation, etc.) was completely revised to support the new organizational strategic direction.

∗   Stage 3 Understanding/Commitment--Started with the arrival of a new Chief of Police, who re-focused the department around the notion of providing quality basic police services throughout the city. Also, a new management approach involving participatory team effort and pushing responsibility down the organization was introduced.

∗   Stage 4 Proficiency/Institional Community Policing --Currently involves several functions. These include the community crime prevention program; planning; city-wide agency coordination; the new management philosophy; the revamped personnel management system; and the area of financial planning and budgetary control to support the new mission.

POLICE DEPARTMENT COMMITMENT TO COMMUNITY POLICING IMPLEMENTATION

The prime reason for selecting these particular police agencies was their recognized commitment and progress in implementing the new community policing model. Comparing these departments against the criteria noted in Appendix C, it is clear that each has achieved extensive and significant organizational change to adapt their organizations and cultures to the core ideas of the new approach.

All of the agencies emphaize communications and forming partnerships with the community; all have adopted a geographic deployment plan in order to enhance customer service and facilitate more contact between police and citizens over the long-term. (Of all components of the new policing approach, the effort to coordinate and work with the community appears to be the most widespread and successful.) All of the agencies are adopting the problem-solving approach in varying degrees; and all are expanding the role of law enforcement to cover a myriad of crime and order maintenance issues and working in unison with other city departments. All of the agencies are making (or planning to make) changes in management and organizational structure including a "flattening" of the rank structure, decentralization of responsibility (to

match the geographic deployment plans), the use of substations, and extensive training in the problem-oriented model, new approaches to management and leadership, and startin gor strengthening crime prevention/crime analysis programs. Finally, all of the agencies are addressing the outcome measurement issue, but with varying degrees of success, and objective evaluation of the new model continues to be a complex problem (as it appears to be for most other police departments).

These police departments have made tremendous progress towards the new community policing model. All of the agencies are continuing their efforts, and none feel that they "have arrived" or are "doing community policing" yet. However, all of the agencies indicated that various elements of their overall efforts have reached the stated objectives and are functioning within the organization at the Stage 4 level.

RESEARCH FINDINGS ABOUT THE STAGE ASSESSMENT MODEL

All of the departments indicated that they had gone through a number of stages as the implementation process evolved over the years. Chief Dennis Nowicki from Charlotte-Mecklenburg, in fact, was already using a five-stage model to define implementation objectives and to measure organizational progress.Representatives of all of the agencies also indicated that the idea of the stage assessment matrix, with various components of the community policing model broken down into the developmental stage levels, would help to provide objective measures or targets for implementation.

Based on the implementation evolution of the agencies studied in this project, the four-stage developmental model appears to be valid. However, the stages need to be slightly redefined based on the experience (and to some extent expectations) of the agencies. The revised stages are as follows:

Stage 1: Awareness/Discovery

Initial interest in the new style of policing from magazine articles/conferences/discussions with other police personnel; take action to learn more about the new approach; discuss use of new model in meetings and formulate tentative new program ideas.

Stage 2: Exploratory/Experimental

Police and/or city leadership and agencies identify potential applications of the community policing model; acquire more information about specific programs and plan/implement pilot efforts; begin limited and discussions with other city personnel to familiarize them with the new problem-solving and community-oriented approach.

Stage 3: Commitment/Understanding

More in-depth analysis of community policing programs and requirements; review results of pilot projects; prepare implementation plans; develope and conduct extensive training programs; establish open communication links with other city departments and provide educational materials; expand involvement of citizens/business groups and build trust; police and other city agency directors and officials analyze required organizational and managerial changes; resources are committed and coordinated implementation begins

Stage 4: Proficiency/Renewal

The new approach to police service delivery and community/business partnership becomes ingrained in police agency operations and management style; most city departments are focused on coordinated service delivery; ongoing and automatic processes for customer service improvements and innovations are operational; innovative managerial approaches and strucural changes to the organization are completed (and revised as needed) based on the new mission and vision.

While all of the police departments had developed extensive and comprehensive community policing programs, all respondents stated indicated that more work and time is needed before implementation can be termed "complete". These departments have realized the complexity and difficulty of the multifaceted

implementation tasks, and most candidly admit that significant revisions to initial plans and schedules have been necessary. They also indicated that, in accordance with the stage model concept, complete implementation is viewed as only a brief moment -- continous change and renewal are expected as part of full implementation of the new community policing approach (Stage 4).

It appears that, at least in the current environment where the community policing idea is considered a "done deal" (as Rosberg stated), that the distinction between Stage 1 (Awareness/Discovery) and Stage 2 (Exploratory/Experimental) is not relevant. While these stages are theoretically separate, in today's environment such a distinction does not have much relevance. There has been so much publicity about the community policing approach that these two stages appear to simply merge together in practice. The police agencies included in this research project (because of advanced implementation of the community policing model) all started many years ago and could identify a distinct awareness/awakening stage and a separate exploratory/experimentation stage. In the initial stage the agencies collected information about the new community policing approach and some sent teams to visit other agencies and gather data before they started to experiment with pilot programs. Today however, it is difficult to imagine many departments (if any) that are not at least aware of the community policing trend and claim to be doing something to implement the new model.

For all of the police agencies, it was possible to identify the transition point when they entered into Stage 3 (Commitment/Understanding). While there were only four agencies involved, the average time spent in Stages 1 and 2 (combined) was about four years (two departments for four years, with one agency for five years and the other for three years) before they feel they entered into Stage 3 (Commitment/ Understanding). (The limited number of agencies makes generalization of these time periods to other police agencies impractical.)

Also, the two agencies that have been in Stage 3 for the longest period of time (both for about two to three years) have made major revisions to their programs while in this stage. Adjustments to the community policing program may be expected, as it is, a complex undertaking requiring considerable change.

Based on the experience of these police departments, Stage 3 (Commitment/Understanding) is the <u>key stage in the implementation process.</u> All of the agencies reviewed did spend time in Stages 1 and 2, and this increased their knowledge and inproved their "organizational readiness" to enter into Stage 3. As noted, in today's environment where community policing is now a "household term" (as Goldstein states) it is possible that police departments jump directly into Stage 3, without the benefit of the experimentation and learning that Stage 1 and 2 (especially) provide. If this is the case, it is hypothesized that the duration of Stage 3 would be longer than if the transition had included identifiable Stages 1 and 2. Some experimentation is probably necessary in order for a police agency and city officials to decide on the strategic make-up of their community policing model.

Stage 4 (Proficiency/Renewal) represents the goal or target of the implementation process, and within the scope of this research project, determining if an agency had achieved this goal was difficult. One primary reason for this is that the stage assessment matrix (proposed in Appendix B) is an ideal version of expected outcomes, and was not in fact prepared by a police department for use in the real world. Also, by definition, the renewal aspect of Stage 4 implies constant change, and it is a subjective assessment of whether an agency has achieved proficiency in a particular component (and planned changes are simply fine-tuning major revisions).

In addition, as noted in the description of the police departments, each has achieved Stage 4 level of performance in various aspects of their implementation program. None of the departmental managers indicated that their agencies had reached the proficiency expected of the Stage 4 level as an organization, but felt that additional time and effort was needed to bring the entire agency to the target level. In many cases this target or goal has not been clearly defined. Accordingly, while it is difficult to identify the dividing line between Stages 3 and 4 in the project, it might be easier in a situation where the stage matrix is used by a police department to develop performance benchmarks for each developmental stage.

POTENTIAL APPLICATIONS OF THE STAGE ASSESSMENT CONCEPT

The stage assessment model is potentially useful for police and city departments for planning, organizing and measuring the community policing implementation process. The purpose of this research project was to validate and document that police agencies did in fact make the transition through a number of developmental stages. However, the maximum utility of the stage assessment model may be its potential to assist with the difficult planning and measurement tasks of implementation. The stage model assessment matrix (see Appendix B), which relates the developmental stages to the components or elements of the new community policing model, provides a simple and flexible tool to better chart where a police department wants to go and how to determine if it has achieved the objective.

The stage assessment model is flexible and the suggested matrix can be refined using programmatic components of the community policing approach based on the unique nature and requirements of each individual jurisdiction, community or neighborhood. Potential applications to the assessment matrix include:

* Organizational Assessment -- analysis of a police agency in terms of its existing programs and status and commitment/progress in implementing a community policing approach

* Strategy Development and Implementation Planning -- the matrix can be used as a tool to provide a framework to identify the needed interrelated implementation tasks that are a part of a police (and other city agency and community) effort to conceptualize the new community policing approach, and to set priorities and task assignments

* Budgetary Planning, Tracking and Control -- the assessment matrix provides a framework to facilitate budget preparation based on the components of the community policing model and their implementation schedules, and for tracking the expenditures based on implementation progress

* Organizational Measurement and Performance Evaluation -- the matrix, combining stages and

the various community policing model components, provides a level of detailed

"outcome"expectations that facilitates measurement of how the department is doing with the

different tasks that make up its interrelated implementation plan

* Educational -- the stage assessment model and matrix provides a way to simplify and present a

complex process, and serve as the basis for educational presentations todepartmental, city and

community groups

OPPORTUNITIES FOR ADDITIONAL RESEARCH

There are a number of interesting possibilities for additional research based on the stage development

concept, including:

* Supportive Factors and Barriers -- the stage model provides a analytic framework to identify the

various factors and/or conditions that facilitate or hinder progress in implementing the community

policing approach

* Size and Demographic Considerations -- a jurisdiction's size (population and density), and

demographics and their effect on implementation of the community policing approach can be

studied in term of the components included in the stage assessment matrix

* Efficient and Effective Implementation Patterns -- although interrelated, the community policing components that make up the stage assessment matrix can reasonably be expected to develop at different rates over different time periods; the stage model provides a structure to analyze implications of various sequential and interdependence issues of the implementation process; also, the question of whether it is necessary to actually make the transition through all four stages (however briefly for Stage 1 and 2) is relevant in today's "community policing" environment.

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APPENDIX A - EXAMPLE OF THE DEVELOPMENTAL STAGE CONCEPT FROM OTHER FIELDS

OVERVIEW

There are a number of examples from other fields of the stage concept of organizational change as agencies adopt new ideas and/or technologies over time. This section describes research on stage models in the educational innovation area, the use of stage assessment in the data processing field, and an example of the stage concept in governmental agencies.

EDUCATIONAL FIELD

In the educational field there are two related research areas that deal with the "concerns-based approach to facilitating change" (Hall, 1979) and the "levels of use of the innovation: a framework for analyzing innovation adoption" (Hall, Loucks, Rutherford, and Newlove, 1975). In both of the stage models, people and agencies exhibit change as new as new innovations are introduced. The Hall model lists seven stages, including:

* Awareness Concerns

* Information Concerns

* Personal Concerns

* Management Concerns

* Consequence (Impact) Concerns

* Collaboration Concerns

* Refocusing Concerns

The other stage model has seven levels, including:

* Non-Use
* Orientation
* Preparation
* Mechanical Use
* Routine
* Refinement
* Integration
* Renewal

This model also has a number of "categories" analogous to the proposed community policing program components; these cover the following areas:

* Knowledge
* Acquiring Information
* Assessing
* Planning
* Status Reporting
* Performing

These stages and categories essentially form a matrix that explains what actions and decisions are needed as new innovations are introduced successfully into an organization. An example if this model in displayed in Exhibit 1.

DATA PROCESSING FIELD

The stage model for the data processing field was developed by Nolan, Norton & Company, Inc. to describe and evaluate the growth process and expenditures of companies as they develop and expand their data processing and information systems functions. The stages they identified include:

* Initiation

* Contagion

* Control

* Integration

The growth process components include:

* Developing User Awareness

* Building the DP Management Planning and Control

* Building the DP Organization

* Building the Applications Portfolio

Again, the stages and growth components form a matrix which facilitates planning, accomplishing the needed implementation steps, and controlling expenditures as an organization gets more involved in its data processing function. An example of this matrix and description is displayed in Exhibit 2.

GOVERNMENT FIELD

The United States General Accounting Office, in a report on the use of Total Quality Management (TQM) ideas in federal agencies, identified a five-stage change model, including:

* Decide whether to implement

* Just getting started

* Implementation

* Achieving results

* Institutionalization

APPENDIX B - SAMPLE STAGE ASSESSMENT MATRIX

OVERVIEW

One dimension of the proposed stage model for organizational change to the community policing approach is the four stages themselves; the other dimension is the program components or activities which determine the nature of the organizational and managerial change. There are a numerous of ways to organize the program components, and the number and definition of each component might vary for each police department as it developes a unique model of community policing (based on local conditions and needs of the community).

An example of the stage assessment matrix is included in this appendix. It is an example and not intended to be comprehensive or specifically appropriate to any particular police department. (The matrix would typically have the four developmental stages on one axis with the components on the other axis. In order to facilitate the review of the contents of each matrix cells, the components are presented on separate pages.)

ORGANIZATION OF PROGRAM COMPONENTS

There are several ways to organize the program components, with some examples presented in the section. The reason for suggesting an organizing scheme is to faciltate and guide (as opposed to mandating) the construction of an assessment matrix which covers all of the activities that a police agency wants to include as part of its transition to the community policing model. Several of the program components will probably overlap regardless of what scheme is used for categorization, and might need to be subdivided for planning and implementation purposes. The use of technology, for example, might be a component that has applications in the operational as well as administrative functional areas of the police department.

One simple approach to organizing the program components is to use the basic operational and administrative categorization. Another scheme is based on the "re-engineering" model of organizational change, and includes three categories. These include changing the business or operational processes; changing the organizational culture; and revising the supporting (usually information systems and data processing systems) technology to fit the new department mission and role. Another method to organize the program components is to use the internal and external categories. This approach is being used in the longterm evaluation of community policing in the Madison Police Department (evaluation being conducted by Wycoff and Skogan). For example, external components might involve other city agencies and/or the program components related to community or business sector activities.

Regardless of which program components are included or how they are organized, the stage assessment matrix can serve as the foundation for planning, implementation activities, and measuring performance. In addition, once the matrix is constructed, it can serve as an analytical tool to look at the "organizational readiness" to start work on the different tasks involved with each program component, and to figure out the best sequence of addressing the tasks (based on the culture of the police department, available resources, or other factors).

EXAMPLE OF STAGE ASSESSSMENT MATRIX

The example of the assessment matrix is contained on the following pages, with the explanation of the four stages and each separate program component/activity displayed on a separate page.

Stage Assessment Matrix

Development Stages

Stage 1 - Awareness/Discovery

Initial interest in the new style of policing from magazine articles/conferences/exchange of information with other police personnel; take action to learn more about new community policing approach; discuss use of new programs in meetings and formulate tentative new program ideas.

Stage 2 - Experimental/Exploratory

Police agency and/or city identify potential applications of community policing model; acquire more information about specific programs and plan/implement pilot efforts; begin limited discussion's with other city personnel; to familizie them with the new problem-solving and community oriented approach; evaluate pilot projects.

Stage 3 - Commitment/Understanding

More in-depth analysis of information about community policing programs and requirements; review results of pilot programs; establish open communication links with other city departments and provide educational materials; develop and conduct extensive training programs; expand involvement of citizens/business groups and build trust; police agency, city officials, and other departments analyze required organizational and managerial changes; resources are committed and coordinated implementation begins.

Stage 4 - Proficiency/Renewal

The new approach to police service delivery and community/business partnership becomes ingrained in police agency operations and management style; most city departments are focused on coordinated service delivery; ongoing and automatic processes for service improvement and innovation are operational; innovative managerial approaches and structural changes to the organization are completed (and revised as needed) based on the new mission and vision.

POLICE/COMMUNITY PARTNERSHIPS

STAGE 1 - Awareness/Discovery

Minimal level of interaction between police and business/community sector; use of basic crime prevention/block watch programs; community-based organizations only cover some neighborhoods with sporadic involvement of police.

STAGE 2 - Experimental/Exploratory

Assistance to and city-wide structure of community-based participation is discussed; need for cooperation and trust explored; some cooperation exists on problem-solving projects; many meetings still focused on citizen anger and/or dissatisfaction and problems.

STAGE 3 - Commitment/Understanding

Community/business groups and city/police staff actively work together on problem-solving projects and program planning; trust is established by honest and open information exchanges; realistic constraints/opportunities identified.

STAGE 4 - Proficiency/Renewal

Organized mechanisms in place for community-wide participation in program planning and implementation to ensure success of city-wide public safety efforts; cooperation at all levels/departments of police and city (with continuous work on team building).

EVALUATION APPROACHES

STAGE 1 - Awareness/Discovery

No specific evaluation questions are considered relevant at this stage; basic process evaluations of planning and information gathering timeliness (if formal project designation) are considered.

STAGE 2 - Experimental/Exploratory

Process evaluations and tracking of activities; report actions/successes of problem solving projects; initial use of "customer" surveys to identify needs/priorities.

STAGE 3 - Commitment/Understanding

Develop outcome/impact measures for performance evaluations tied to goals; use customer surveys to assess priorities and satisfaction with results of city/police efforts.

STAGE 4 - Proficiency/Renewal

Continuous process, impact and project monitoring part of normal operations; constant "fine

tuning" of performance measures with focus on service improvement.

POLICE OFFICER DEPLOYMENT

STAGE 1 - Awareness/Discovery

No change to traditional approach with beats/sectors based on available number of officers, geographic considerations and/or PCAM analysis of workload; boundaries often set to coincide with census blocks for ease of statistical analysis.

STAGE 2 - Experimental/Exploratory

Analysis of beat/sector and neighborhood boundaries is begun, with the service areas of other city agencies and schools possibly considered; develop and implement pilot programs for flexible shifts and/or assignment of officers to specific community areas.

STAGE 3 - Commitment/Understanding

Designate beats/sectors to coincide with neighborhood areas to maximum feasible extent; devise shift schedule and squads (officer assignments and continuity of supervision) to maximize officer time in specific area and for improved coordination of service delivery and liaison with residents.

STAGE 4 - Proficiency/Renewal

Police/City "ownership" of specific neighborhood areas is normal operational plan; communications and coordinated service planning and delivery facilitated across shifts and personnel assignments among city and police personnel.

USE OF TECHNOLOGY

STAGE 1 - Awareness/Discovery

The need for new information systems technology to support the community oriented problem solving approach is typically not identified or considered during this early stage.

STAGE 2 - Experimental/Exploratory

The need for new technologies is reviewed, typically involving the crime analysis function (to support problem solving) and call management for the use of alternatives to dispatch (such as telephone reporting); the increased needs of officers about specific neighborhood statistics (and for current and detailed data) is identified as an issue.

STAGE 3 - Commitment/Understanding

Formal needs assessments are conducted to define information systems; department and city-wide systems integration issues are taken into account in planning and scheduling new systems development; budgets for the new systems are approved and systems implementation and testing proceeds.

STAGE 4 - Proficiency/Renewal

On going refinement of new information systems to support operations and problem solving and management efforts is part of normal operations; systems and information processing is integrated with other city agencies and regional agencies as appropriate.

LONG TERM ASSIGNMENTS FOR OFFICERS TO NEIGHBORHOOD AREAS

STAGE 1 - Awareness/Discovery

Officers are assigned based on seniority and needs of the police department as promotions and retirements occur.

STAGE 2 - Experimental/Exploratory

Officers are assigned to pilot programs with the expectation of serving for specific time periods; the community is informed of impending personnel changes and the rationale for changes.

STAGE 3 - Commitment/Understanding

Permanent assignments are considered whenever possible within limits of shift work and promotions; special arrangements and/or personnel assignments are implemented to ensure continuity in service delivery and coordination of problem solving activities.

STAGE 4 - Proficiency/Renewal

Normal policy is for long term assignments whenever possible; all officers and civilians are trained in community oriented and problem solving approach, thus personnel assignments are not as important as during earlier developmental stages; coordination and problem solving communications systems/protocols are in place among all levels of the police department as well as with other organizations.

COMMUNICATIONS WITH CITY AGENCY STAFF

STAGE 1 - Awareness/Discovery

Little attention given to working with other city departments except when police are handling specific calls or during emergency situations.

STAGE 2 - Experimental/Exploratory

The police invite other agencies to participate in pilot projects (as team members or part of location-specific efforts); police provide educational materials and their planning documents to other agency personnel to explain scope and purpose of community oriented problem solving approach.

STAGE 3 - Commitment/Understanding

Other agency directors and staff are full partners in problem solving projects and planning for coordinated service delivery; communication is two-way and continuous with designated agency contacts for services and/or a geographical focus (at a minimum).

STAGE 4 - Proficiency/Renewal

Coordinated service delivery is imbedded in operations of all city agencies (in policy and procedures manuals as well as organizational structure and management approaches to facilitate communications); agencies consult with each other about new initiatives (during planning phases) and share resources when appropriate; other agency functions and operational capabilities are part of police training programs.

ORGANIZATIONAL STRUCTURE

Stage 1 - Awareness/Discovery

No changes to the structure of the organization are contemplated or appropriate.
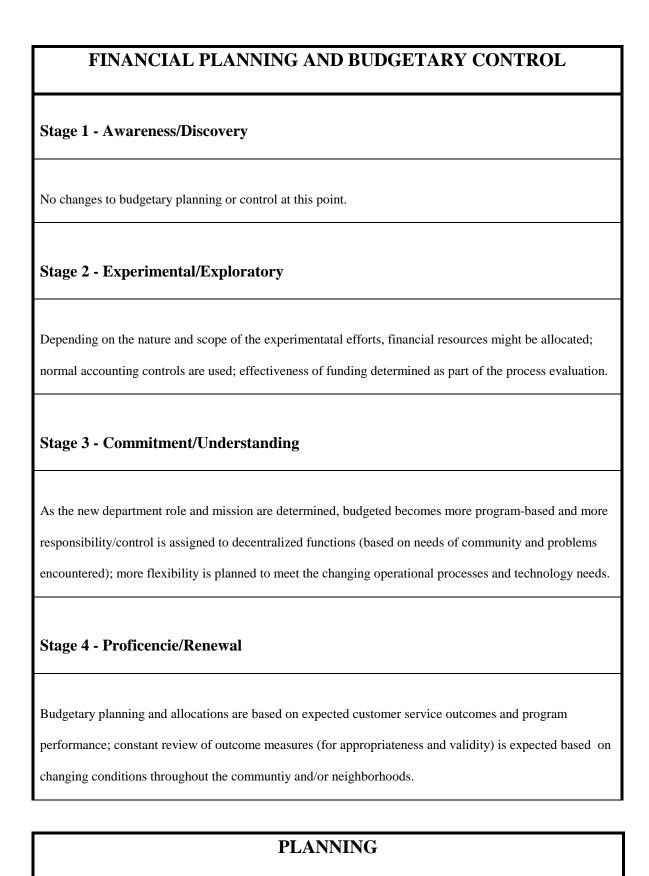
Stage 2 - Experimental/Exploratory

Possible restructuring of units or divisions based on the nature of the pilot projects initiated, but no department-wide revisions are considered.

Stage 3 - Commitment/Understanding

Based on the developement of the new role and operational processes to support the community policing model, an analysis of the organizational design needed to support the new mission is conducted; appropriate revions are implemented; flexible workgroups or taskforces are formed and used as needed for specific programs, without formal changes to the structure.

Stage 4 - Proficencie/Renewal

Organization structure is flexible and viewed as secondary to the need for rapid changes in delivery of services and problem-solving projects, typically in coordination with other city departments and the community/business sectors; formation of project-oriented teams with staff resources from a variety of units (as needed by the nature of the problem) is standard procedure.

FINANCIAL PLANNING AND BUDGETARY CONTROL

Stage 1 - Awareness/Discovery

No changes to budgetary planning or control at this point.

Stage 2 - Experimental/Exploratory

Depending on the nature and scope of the experimentatal efforts, financial resources might be allocated; normal accounting controls are used; effectiveness of funding determined as part of the process evaluation.

Stage 3 - Commitment/Understanding

As the new department role and mission are determined, budgeted becomes more program-based and more responsibility/control is assigned to decentralized functions (based on needs of community and problems encountered); more flexibility is planned to meet the changing operational processes and technology needs.

Stage 4 - Proficencie/Renewal

Budgetary planning and allocations are based on expected customer service outcomes and program performance; constant review of outcome measures (for appropriateness and validity) is expected based on changing conditions throughout the communtiy and/or neighborhoods.

PLANNING

Stage 1 - Awareness/Discovery

No changes to the typical to-down planning approach used in most departments; considerations about how other groups can be included in the planning process are discussed.

Stage 2 - Experimental/Exploratory

The use of community surveys is considered and used to gather data about citizen priorities and needs; how best to include community and business groups is reviewed; meetings with citizens and businesses are part of the planning for the experimental community policing programs and activities.

Stage 3 - Commitment/Understanding

Based on adoption of customer-oriented and problem-solving approaches, communications are opened with a broad range of citizens and business groups, using a variety of media, to involve them in the planning process; methods for customer involvement in the problem-solving process, especially in terms of setting prioroties and receiving feedback on the status of projects, are established; a broad range of departmental operational and statistical information is now made available for citizen review and use in their role as partners with the police.

Stage 4 - Proficencie/Renewal

Procedures and mechanisms are in place for continious input from the community about a wide range of planning issues, involving not only the police but other city agencies as well; planning information becomes a routine part of the budgeting process to target specific crime and quality of life problems; planning is viewed as a continious process requiring constant up-dates to keep up with changing conditions.

TRAINING

Stage 1 -Awareness/Discovery

Basis classes about community policing theory/ideas; examples from other cities in magazines and research reports.

Stage 2- Experimental/Exploratory

Special training for limited number of officers in cultural diversity, public speaking, and the problem-solving approach; consolidate information about city services for problems solving referrals.

Stage 3 - Commitment/Understanding

Comprehensive training for police department and city-wide team-building workshops; educational materials/programs for the business/community sectors; revision of overall training programs to meet new organizational goals.

Stage 4- Proficnetly /Renewal

Ongoing refresher training; coordinated training programs for police/city and business/community sector people; programs aimed at TQM and organizational excellence incorporated in training courses

ROLE OF POLICE OFFICERS

STAGE 1 - Awareness/Discovery
No change in basic traditional reactive approach; officers aware of ideas and general concepts; little change in "us/them" view of other city employees and public; focus solely on criminal activity.
STAGE 2 Experimental/Exploratory
Officers (volunteers/selected) for pilot programs, typically involving "park and talk" or foot beats; limited training about new approach; no change in departmental policies/procedures; revised reward system for "risk-taking' behavior discussed.
Stage 3 - Commitment/Understanding
Transition to view of police officers as primary customer service delivery link begins and is defined operationally; personnel management, training and policies/procedures revised to reflect new role and responsibilities; focus includes problem-solving in addition to criminal activity
Stage 4 - Proficency/Renewal
Officers involved with problem-solving city-wide employee teams; flexible team-based managerial/supervisory system in place; officers have more responsibility, discretion, and independence; officers are involved in organizational and managerial decisions involving service delivery issues.

PROBLEM-SOLVING APPROACHES

Stage 1 - Awareness/Discovery

General discussions about how projects are selected are held between police and citizens; concerns about involvement of citizens and security issues; concerns about police workload and limited resources; little or no interaction with the public about problems.

Stage 2 -Experimental/Exploratory

Initial problem-solving meetings involve how to set agendas/select problems and procedures; solution approaches reflect little creativity or involvement of other (non-police) resources; feedback on outcomes requested by citizens, but viewed as time consuming by police.

Stage 3 - Commitment/Understanding

Working relationships among police/citizens/other city departments built on trust and respect; problem targets selected by community; long-term problems are addressed; level of creative and innovative solutions increases; amount and quality of analysis increases.

Stage 4 - Proficency/Renewal

Joint city-wide problem solving program involves regular meetings and open communications process; private sector and regional resources are part of process; coordinated service delivery is city-wide standard.

LEVEL OF CREATIVITY IN PROBLEM SOLVING

Stage 1 - Awareness/Discovery

Review examples of problem solving efforts in other cities; analyze the feasibility and barriers to using problem solving approach in department and/or city agencies

Stage 2 -Experimental/Exploratory

Most problem solving projects use traditional law enforcement tactics and programs; citizens identify some problems; police typically responsible for solution analysis and implementation.

Stage 3 - Commitment/Understanding

Police and citizens work together (or share information) on all SARA steps for most problems; non-traditional remedies are considered and implemented (including civil as well as criminal options, and ideas that require revision of standard policies and procedures are utilized); other city agencies are involved in SARA process.

Stage 4 - Proficency/Renewal

Major concern is with "what works" to solve the problem (within legal and ethical considerations); private sector routinely joins city and communities in SARA process for addressing problems; solutions are based on needs of unique neighborhood situations and often are not standardized throughout the jurisdiction.

PERSONNEL PERFORMANCE MEASURES

Stage 1 - Awareness/Discovery

Changes to the standard procedures for personnel evaluation are not typically considered

during this early stage.

Stage 2 -Experimental/Exploratory

New measures related to problem solving activities, dealing with the public, and public

speaking skills are identified and/or considered; information from other police agencies (if

available) is collected and reviewed.

Stage 3 - Commitment/Understanding

A formal project is started, with participation of officers and supervisors, to review the

evaluation process and develop reliable and useful performance measures under the

community oriented problem solving policing approach.

Stage 4 - Proficency/Renewal

The new measures and processes are adopted which address quality service in both law

enforcement and community oriented activities; "value added" behavior leading to increased

organizational effectiveness is stressed; the evaluation process is geared to improve personal

and organizational effectiveness and identify needs for training and development.

COMMUNICATIONS WITH COMMUNITY GROUPS AND CITIZENS

Stage 1 - Awareness/Discovery

Department procedures typically restrict communications with the public to commanders and/or public information officers; citizen complaints are viewed as problems.

Stage 2 -Experimental/Exploratory

Surveys to gauge citizen priorities and needs are developed and conducted; police attend meetings to explain operations and answer questions; "hot lines" sometimes established to ensure caller confidentiality.

Stage 3 - Commitment/Understanding

Periodic public surveys and meetings are normal operational procedure; educational materials are widely available and some form of a citizens academy is established; regular meetings with community and youth groups are held throughout the city.

Stage 4 - Proficency/Renewal

Communication and feedback is two-way with police free to explain why certain requests can not be met; officers are authorized to explain police actions and/or answer questions; citizen complaints are viewed as an opportunity for improvement and/or for problem solving projects.

MANAGEMENT PHILOSOPHY
Stage 1 - Awareness/Discovery
The traditional quasi-military command and control approach is typical of most police agencies based on the law enforcement mission of most departments; little involvement of line officers or first line supervisors in departmental planning or decision making activities.
Stage 2 -Experimental/Exploratory
Committees are established to review and critique new community policing concepts and pilot programs; the planning groups include sworn and civilian personnel from different levels and units of the department; the suggestions and comments of these groups are reviewed by command level management.
Stage 3 - Commitment/Understanding
Involvement of personnel from all levels of the department (and other coordinating agencies) is welcomed and encouraged; the concept that the people responsible for service delivery should be part of the planning and implementation of new programs/models of policing is accepted throughout the organization; participative and matrix management concepts (task forces are comprised of people with the appropriate background and knowledge, regardless of rank or unit) are established as management standard.
Stage 4 - Proficency/Renewal
Both the traditional command and control style and the flexible participative/matrix management style are used as appropriate in a given situation, with the objective of maximum organizational effectiveness and efficiency (including officer/victim safety during tactical or emergency events); all employees have both the responsibility and opportunity to participate in planning and decisions about their functions as part of the organization and the goal of quality service and continuous improvement/innovation.

APPENDIX C - REVIEW OF COMMUNITY POLICING MODELS & IDENTIFICATION FOR KEY

PROGRAM COMPONENTS/CHARACTERISTICS OF THE COMMUNITY -

ORIENTED PROBLEM-SOLVING POLICING APPROACH.

BACKGROUND & OVERVIEW

The Stage Model proposal suggested that there are a series of implementation stages that an agency progresses through as it adapts and changes the organizational and managerial approach to the new community policing model. The proposed model also suggested a number of "program components/activities" or characteristics that an agency could be expected to revise as part of the new community policing approach. These program components could be reviewed to determine if change was occurring, and if distinctive stages were discernable. Several departments were selected for review based on their advanced community policing programs in order to determine if they went throught a series of developmental stages.

Any determination of wheather the sample police departments are adapting the new community policing model needs to be based on the theoretical constructs of the new approach to policing. In addition, selection of the program components needs to be reviewed and compared with examples of the new policing model currently being explained in the literature and used in practice. These models, and the activities or characteristics included in each, could then serve as benchmarks or indicator in order to ensure that the identification and measurement of stages in the change process was based on valid expectations of organizational and managerial growth.

SELECTION OF COMMUNITY POLICING MODELS FOR REVIEW

There appears to be no accepted definition of the new community policing model, and the scope of the model is still undergoing revision and refinement. Also, the term "community policing" appears to usually cover both community-oritented as well as problem-oriented approaches to policing. However, there is a growing body of recommendations about what an agency should be doing if it is implementing the mew

community [policing concepts. While there are many examples, four models were identified that involve the work of some of the earliest researches in this field and a current federal program to assist local agencies with understanding the approach. These models are described in the following section.

SUMMARY OF SAMPLE MODELS

The four models are summarized and the source document listed as part of each section.

∗   Kelling and Moore Model

In 1988 as part of the NIJ Perspectives on Policing series, Kelling and Moore produced "The Evolving Strategy of Policing", which discussed the political era, the reform (or traditional style), and the community problem-solving era. The elements of the last era include:

- legitimacy and authorization

In addition to "law" continuing to be the major legitimatizing basis of the police function, there is a renewed emphasis on "community , or political authorization for many police tasks, along with law and professionalism", which translates into community support.

-the police function

The "definition of the police function broadens in the community strategy" and "includes order maintenance, conflict resolution, problem solving through the organization, and provision of services, as well as other activities." The community strategy emphasizes crime control and prevention, and problem solving.

-organizational design

"Organizational decentralization is inherent in community policing; the involvement of police officers in diagnosing and responding to neighborhood and community problems necessarily pushes operational and tactical decision making to the lower levels of the organization. .. "Developing, articulating, and monitoring organizational strategy remain the responsibilities of management. Within this strategy, operational and tactical decision making is decentralized." .. Decentralization results in "increased participative managements and increased involvement of top police executives in planning and implementation." .. Decentralized decision making, participative planning and management, and executive involvement in planning leads to "fewer levels of authority" that are "required to administer the police organizations". this implies the use of task forces and matrix management ideas.

-external relationships

"Community policing relies on the intimate relationship between and citizen's", .. and "relatively long term assignment of officers to beats, programs that emphasize familiarity between citizens and police, and crime control meetings for police and citizens:. Police should be concerned with fear (of crime) and victims assistance; and moving to structure working relationships or strategic alliances with neighborhood and community crime control groups. This implies consultative behavior, the police defending the values of law and professionalism, but listening to community concerns.

-demand management

A "major portion of demand is decentralized, with citizens encouraged to bring problems directly to beat officers or precinct offices". The use of the 9-1-1 system is discouraged except for emergencies and is "demarketed" (the idea of rapid response to calls-for-service). The "emphasis" is on police officers interacting with citizens to determine the types of problems they are confronting and to devise solutions to the problems. Solutions are "channeled" through analysis of underlying problems.

-tactics and technology

Community policing tactics include the full range of crime control - regular patrol, specialized forms of patrol, and rapid response to call, and foot patrol, problem solving, information gathering, victim counseling and services, community organizing and consultation, education, and walk- and-rides. The emphasis is placed on information sharing between patrol and detectives " to increase the possibility of crime solution and clearance".

-measured outcomes

"Quality of life" in neighborhoods, problem solution, reduction of fear, increased order, and "customer satisfaction" with police services and crime control are measures to use.

* Goldstein Model

This summary is derived from his book ("Problem-Oriented Policing", 1990); and several articles by Goldstein and reviews of his work.

His idea is the community policing responds to the need for a new "broad conceptual framework", with the basic elements of problem-oriented policing including:

- group incidents as problems

- focus on substantive problems as the heart of policing

- effectiveness is the ultimate goal

- the need for systematic inquiry

- disaggregating and accurately labeling problems

- analysis of multiple interests in problems

- capturing and critiquing the current response

- an uninhibited search for a tailor made response

- adopting a proactive stance

- strengthening the decision-making process & increasing accountability (public involvement)

- evaluating the results of newly implemented responses

As part of problem-oriented policing, effective police departments will have the following characteristics:

- department will take on the full range of social issues as well as crime

-police officers will maintain a close working relationship with the public in order to identify problems (and thus prevent problems)

- the police will design and implement those responses most likely to work

- the department will support initiative and creativity among officers with an organizational structure that provides opportunities for meaningful work, responsibility and feedback about the effectiveness of officer activities

Short and long term characteristics of a problem-oriented police agency include:

- problem-solving is explicitly recognized as the standard method of policing

- the problems addressed should directly affect members of the public

- problem-solving objectives re measurable

- the agency explicitly looks for ways to get all members to address problems effectively

(long term expectations)

- agency members conduct complete analyses of information describing the problems

- agency members conduct uninhibited searches for solutions

- everyone in the agency is involved in problem-oriented policing

* Trojanowicz and Bucqueroux Model

Materials written by these researchers as part of National Center for Community Policing, University of Michigan, and several federal grants, provide the basis for the summary.

- police provide full-service policing (proactive and reactive) involving the communities directly as partners in the process of nominating, prioritizing and solving the full range of crime and disorder problems; community policing is a department-wide commitment and policies and procedures need to be adapted

- assignment of community policing officers to specific community areas to allow citizens to get to know officers on a first-name basis is needed

- a strong law enforcement focus as well as a focus on proactive problems solving is needed.

- community policing officers work/patrol in defined beats and are able to get out of patrol cars (walking beats/bicucles/meetings) whenever possible

-permanent assignments of community policing officers to neighborhood beats lasts for a least eighteen months

- community policing officers are expected to develop "ownership" of their neighborhood beats and are authorized to serve as "mini-chiefs" with decentralized decision making and flexibility to participate in community-based problem-solving

- community policing encourages new proactive partnerships between people and their police based on mutual respect, civility and support

- the mission of the police is redefined to focus on solving problems with an emphasis on qualitative and quantitative results, with citizens identifying problems

* Bureau of Justice Assistance Model

Based on the BJA publication "Understanding Community Policing: A Framework for Action" (1994), the two (complimentary) components of community policing are:

Community Partnership, involving:

- establishing and maintaining mutual trust, respect and sensitivity (emphasis on community contact and communications)

- police become an integral part of the community culture

- the community assist in defining future priorities and in allocation resources

- the traditional police scope of services is broadened beyond the "law enforcement emphasis" and beyond police efforts to "prevent and control crime"

Problem Solving, involving:

- "carefully studying the characteristics of problems and .. applying the appropriate resources"

- "community involvement is essential" to look for and deter the underlying causes of crime

LIST OF KEY PROGRAM COMPONENTS/CHATACTERISTICS OF COMMUNITY POLICING

Based on the multitude of expectations and factors identified in these models, five major groups were identified, with the following factors:

∗   Link with the community

- communications

- consultative relationships

- partnership

- police ownership of areas of responsibility

- stable/more permanent deployment/assignment of officers to defined areas of responsibility

- community support

* Expanded/broadened role and function of police

- full service policing

- policing beyond crime control and law enforcement

- order maintenance

- coordination of public services

- crime prevention

* Systematic problem-oriented approach

- systematic approach to get at underlying causes of crime

- flexible/task oriented management and operational philosophy

- explicit throughout agency (idea and standard for operations)

- citizens involved in identification and analysis

* Focus on outcome measures and results

- quality of life

- citizen satisfaction

- crime control

- efficiency and effectiveness equity

- quality as well as quantity

* Management and organizational changes

- decentralized approach with decision making and role of officers/supervisors, and neighborhood focus

- top and bottom levels involved in planning and program implementation

- coordination with other city agencies (on problem solving)

- revised organizational structure

- revised policies and procedures

- training programs/revised mission and/or strategic plan

- new management information systems and technology

These five groups of activities or components of the new community policing model are used to verify that the police agencies are in fact making a commitment to the new approach and are changing the organization in the intended direction. These groups of activities also serve as a guideline in the development of the stage