



PLANNING

NORTHWESTERN UNIVERSITY
CENTER FOR PUBLIC SAFETY

SUPERVISION OF POLICE PERSONNEL

Tom Ross 03.26





A good plan executed right now is far better than a perfect plan executed next week.

General George S. Patton

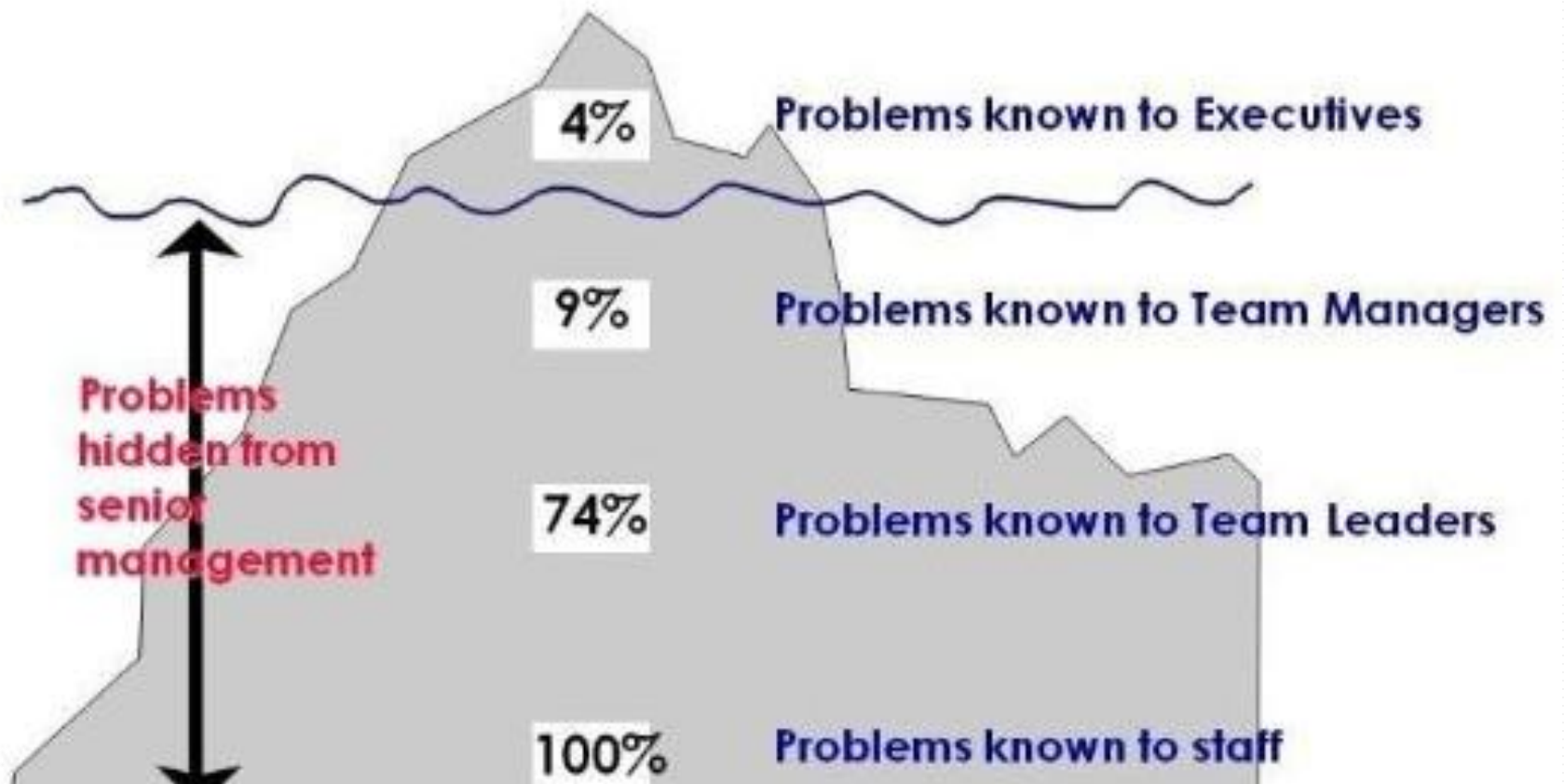


Why should departments plan strategically?

- So your organization doesn't end up like this!
 - We can learn to improve program effectiveness and management accountability...



Planning



(07/29/22)

<https://www.youtube.com/watch?v=iuYlGRnC7J8>



Harvard Business Review

A comprehensive plan—with goals, initiatives, and budgets—is comforting. But starting with a plan is a terrible way to make strategy.

Roger Martin, former dean of the Rotman School of Management at the University of Toronto and one of the world's leading thinkers on strategy, says developing strategy means going outside an organization's comfort zone and escaping the common traps of strategic planning.

- ✓ Most strategic planning has nothing to do with strategy.
- ✓ So what is a strategy?
- ✓ Why do leaders so often focus on planning?
- ✓ Let's see a real-world example of strategy beating planning.
- ✓ How do I avoid the "planning trap"?

"A New Way to Think: Your Guide to Superior Management Effectiveness":

WE HAVE A
**STRATEGIC
PLAN**

IT'S CALLED
**★ DOING ★
THINGS.**

-Herb Kelleher



SOUTHWEST[®]

Southwest[®] 

- MOST “Plans” will not ever be used – there just in case
 - MOST “Plans” don’t survive the first punch in the nose!
-
- We STILL do them

Planning

- As a police planner, you know the purpose of planning is making sure the department is doing the right thing and doing things right. This translates into being effective and efficient .
- Some police officials resist the planning process because:
 - They fear failure
 - Lack control of the environment
 - Lack organizational knowledge



Planning

- Why do we plan?
 - To outline the activities (blueprint) necessary to achieve goals
 - To find out where your department is right now
 - To anticipate and coordinate necessary resource allocations, schedules, tasks, and other actions for the department to realize its goals
 - **When “planning to plan,” you must identify three aspects of the organization... “STP”**
 - **STRUCTURE, TECHNOLOGY, AND PEOPLE**



Components of Planning

- Analysis
- Forecasting (anticipation of problems)
- Setting objectives
- Setting priorities
- Determining action steps

Costs to Planning

- Management time can be heavily invested and be missing other vital areas within the department
- Delays to making decisions can be a hindrance due to time-consuming acquisition of information and data. This can affect a police department's response time.
- Any others?



Contingency Plans

- Often referred to as scenarios (often worst case), defines the police department's responses to be taken in case of emergencies or setbacks.
- Planners attempt to identify the uncontrollable factors
- Know any?



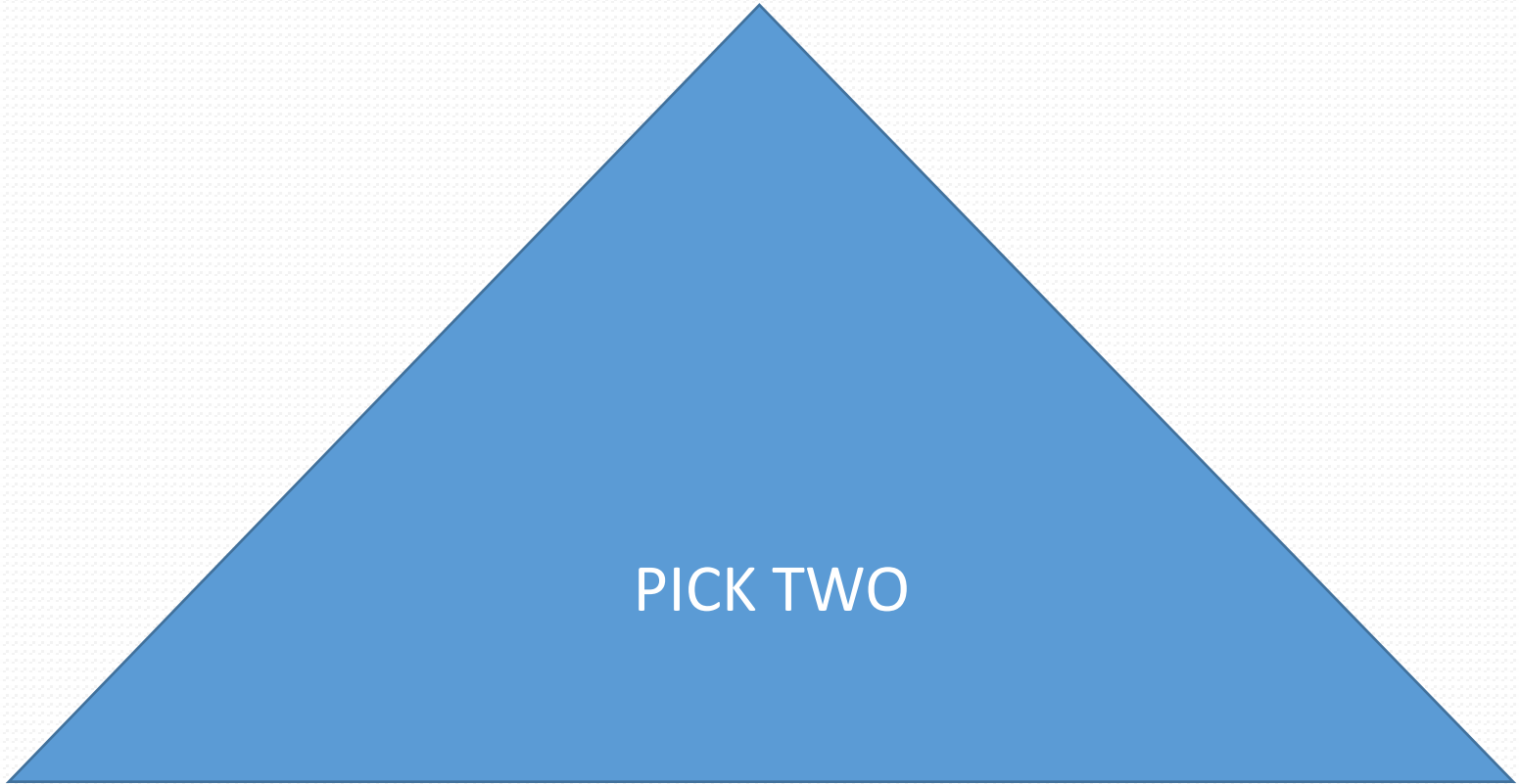
Quality triangle

GOOD

PICK TWO

FAST

CHEAP



Planning



- To learn from the past
- To address change and increase potential for success
 - Demographics, succession building, etc.
- Devising the means to achieve results
- In order to plan, we need to know our goals
- “If it ain’t broke, why fix it?”
- When organizational parts interact to produce a joint effect that is greater than the sum of the parts acting alone SYNERGY takes place!

Active Shooter



Police



Fire



EMS

Where Should Planning Begin?

- Top-Down Approach:
 - Top level executives determine the direction
 - Establish a “master level plan” to achieve overall goals
 - The “master plan” establishes the parameters within which the work (lower) groups develop
 - Any concerns with top-down?
- Bottom-Up Approach:
 - Initiated at the lowest levels or the organization who are heavily involved in the delivery of services
 - Plusses?
 - Negatives?
- Some organizations combine both approaches.

Planning

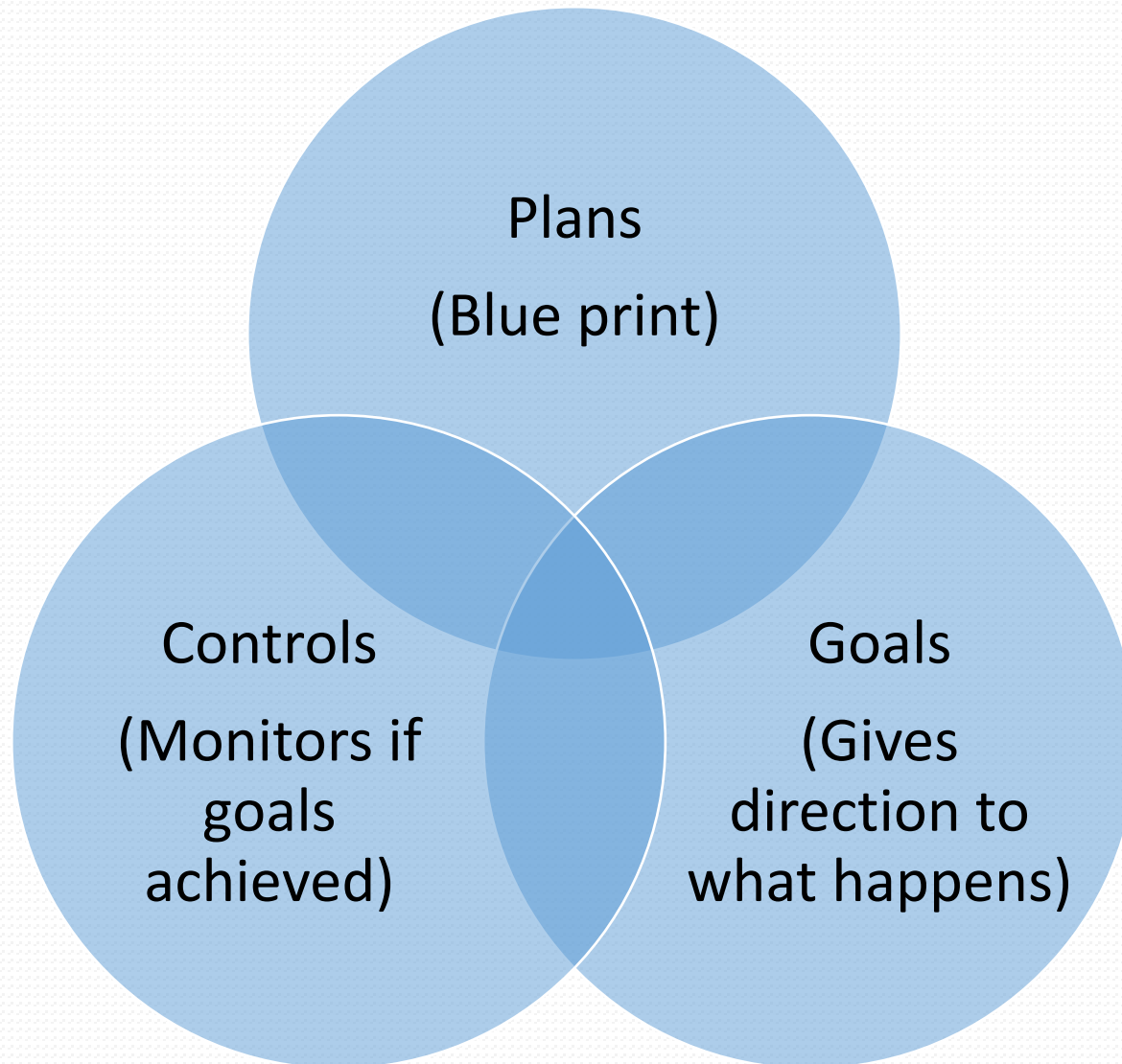
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Components of Planning

- Analysis
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- Setting objectives
- Setting priorities
- Determining action steps
- **1 minute planning saves
3 minutes implementation**



Successful Planning Process



Project Management

Building a House

- Need a Blueprint (plan)
- Schedule (detailed timeline)
- Budget
- Accountability (audit) weekly update meeting
- Catch mistakes EARLY (easier/cheaper to fix)

Where do we get bit?



High Risk
Low Frequency

High Risk
High Frequency

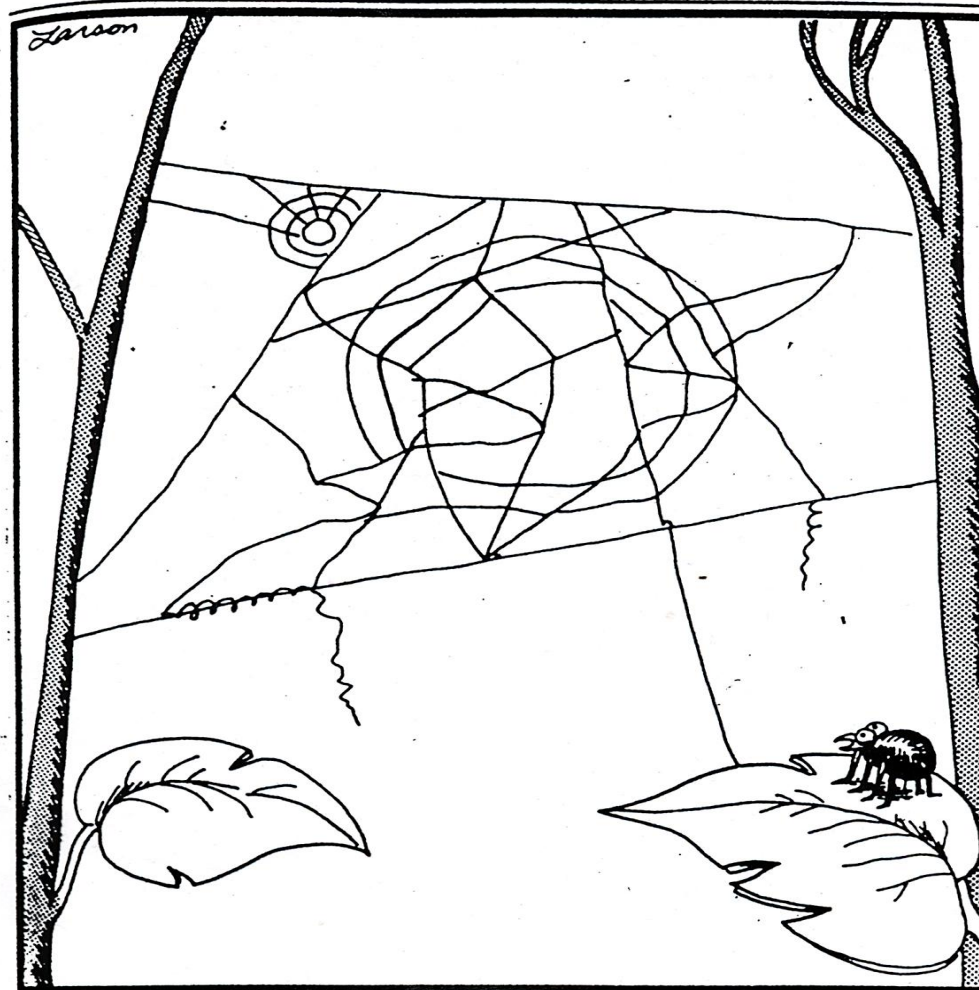
Low Risk
Low Frequency

Low Risk
High Frequency

Risk and Frequency

- The police functions that are high risk and low frequency require strong policies, formal procedures, and explicit rules.
- The police functions that are high frequency and low risk functions can be discharged with minimal guidance and a strong system of shared values.
- **The police functions that are high risk and high frequency require the most extensive policies , training, and overall guidance.**
 - For training to be valid, it should include testing on trained personnel

Best Laid Plans Sometimes Fail



"Whoa! . . . That CAN'T be right!"

Planning

Strategic

- 3-5 years plans
- Overall Direction
- Top managers

Tactical

- < a year plan
- Steps to make strategic plans work
- Middle to lower managers

Operational

- Day to day plan
- Outlines/defines tactical measures
- Lowest managers and specific focus

Strategic Planning:

The process of establishing goals and making decisions that will enable an organization to achieve its long-term and short-term objectives

Goals & Objectives



Strategic Planning (TOP)

- Performed by top management
- Term exceeds five or more years
- Required in turbulent environments
- Includes “mission” and “vision”



Tactical Planning (MID)

- Annual or intermediate plans
- Developed by middle managers
- Aimed at attaining performance objectives

Tactical Planning

- Tactical plans support strategic plans by translating them into specific plans relevant to a distinct area of the organization. Tactical plans are concerned with the responsibility and functionality of **lower-level** departments to fulfill their parts of the strategic plan.

Tactical Planning

- Tactical Planning is Short range planning that emphasizes the current operations of various parts of the organization.
- Short Range is defined as a period of time extending about one year or less in the future.
- Managers use tactical planning to outline what the various parts of the organization must do for the organization to be successful at some point 1 year or less into the future.
- Tactical plans are usually developed in the areas of production, marketing, personnel, finance and plant facilities.

Operational Planning (LOW)

- Short range
- Developed by supervisors to cover areas of accountability
- Concerned with day-to-day problems
- Performed by first-line supervisors



Operational Planning

- Operational planning focuses on the day-to-day activities that are necessary to achieve the long term goals. Operational plans sit at the bottom of the totem pole; they are the plans that are made by frontline, or low-level, managers. All operational plans are focused on the specific procedures and processes that occur within the lowest levels of the organization.
- Operational planning outlines the tactical activities that must occur to support the ongoing operations
 - More specific than strategic plans
 - Address short term issues
 - Formulated by middle and lower class level managers
 - Responsible for smaller sub units
 - The positives are standardized procedures
 - The negatives are they become too rigid

Policy

- “Failure to have an effective process and/or policy to receive complaints regarding improper conduct by police officers or to have an ineffective system of resolving these complaints imposes liability on police supervisors or police agencies.” *Strauss v. City of Chicago* 760 F. 2d 765 (7th Circuit 1985)
- **Deliberate Indifference** is defined as the conscious or reckless disregard of the consequences of one's acts or omissions. To be guilty of "deliberate indifference," one must know they are creating a substantial risk of bodily harm.

Planning

- **Tactical goals and plans are middle management's responsibility.**
- **Operational goals and plans are the lower management's responsibility.**
- **Strategic are the TOP**

Hierarchy



Strategic
Top Management (not “supv.”)

Tactical
Mid-management

Operational
Day to day

Exercise

- You are responsible for planning for a demonstration by a group of animal rights activists next week. Violence is expected. Include personnel staffing, equipment, resources, tactics and budgetary considerations in your plan.
- You are responsible for planning to develop and implement a major crimes task force. Include personnel, equipment, resources, activation procedures and budgetary considerations in your plan.
- You are to implement a plan for the pharmaceutical distribution to your personnel and the community.

Types of Plans by Function

- Standing Plans
 - Policies
 - Procedures
 - Methods
 - Rules
- Single-Use Plans
 - Budgets
 - Programs
 - Projects

Standing Plans:

*Policies, procedures,
methods and rules that can
be applied
to recurring situations*

Standing Plans - Policies

- Promotes consistency
- Easier to delegate

Policies are many,
Principles are few,
Policies will change,
Principles never do.

John C. Maxwell

Standing Plans - Policies

- Followed 90% of the time
 - Articulate and justify
 - Shouldn't be consistently violated
- Policy doesn't cover all situations
 - Change if necessary
- Avoid excessively restrictive wording

Standing Plans - Policies

- Four Cs of Effective Policies
 - Current
 - Constitutional
 - Clear
 - Consistently enforced

Standing Plans - Policies

- External Policy Makers
 - Government agencies
 - Labor agreements
 - Accreditation agencies
 - CALEA
 - Lexipol



Standing Plans - Procedures

- Determines sequence of events of activities
- Guides actions (not thinking)
- Detailed
- Promotes analysis of work
- Provides employee evaluation standards
- Reduces routine decision making

Standing Plans - Rules

- Directives - applied and enforced whenever and wherever applicable
- Applies to “behavior”, not “hands-on” activity
- No deviation or discretion
- Promotes consistency and uniformity

Standing Plans

- Deals with organizational issues or problems that recur frequently
 - The Standing Plan is commonly referred to as the Standard Operating Procedure (SOP), this plan deals with certain types of events that occur regularly, minimizing the time needed in planning and decision making.
- They ensure consistency of handling over time
- They can limit employee's flexibility
- Standing plans include:
 - Policies
 - Procedure
 - Rules

Single-Use Plans:

Plans developed to accomplish a specific objective or to cover a designated time period (budgets, Programs, and projects)

Single-Use Plans: Budgets

- Expresses anticipated results in numerical (financial) terms for a specific time period
 - Budget preparation = planning
 - Budget application = control
- Use prior budget to plan new budget
 - Process of three (3) budgets
 - Past, Current, future

Single-Use Plans: Budgets

- Involve all supervisory personnel
 - Personnel problems
 - Equipment needs
 - New programs

Single-Use Plans: Programs

- Plans for a specific major undertaking
- On-going
- May have its own policies, procedures and budgets

Managing Change

- Managing change means “planning for change”
- Must understand “fear of change”:
 - Economic loss
 - Loss of “status quo” or “norm”
 - Loss of security
 - Loss of relationships

Managing Change

- Most important factor:
 - Supervisor/Employee relationship (TRUST)
- Perception of change different for each individual
- Communication is vital
- Use facts to combat rumors
- The perception of change is usually individual

Managing Change

- Process:
 - Information – as much as necessary
 - Background information
 - Reason for the change
 - Who, what, when, where, how
 - Provide information well in advance of the change
 - Be honest & open

Managing Change Upward

- Process:
 - Do your homework!
 - Collaborate with others (*Don't conspire!*)
 - Present the reason or need
 - Provide alternatives
 - Let the supervisor choose
 - Persuade/Sell (*No threats or ultimatums!*)



Mission Statement

A statement of the organization's basic philosophy, purpose and reason for existing

Mission Statement

- The mission statement broadly describes the basis “business” scope and operations that distinguish it from other departments... Its reason for existence.
 - The mission statement informs all the workers the purpose of the department
 - It is often very difficult to capture the full range of duties and responsibilities in a short, simple, mission statement
- **The planning process starts with a mission statement**
 - **A statement of the organization’s basic philosophy and purpose is found in it’s mission statement**

*“to protect
and to serve”*



POLICE

85489

Visioning:

*The process of determining
what the organization
should become*



Vision Statement

- WHAT IS A VISION?
- ☐ It is a dream.
- ☐ It is a picture of what is possible.
- ☐ It is our idealized state.

Vision Statement

- CRITERIA CHECKLIST

- Focuses on the future.
- Some reasonable hope for success.
- A very high standard and a target not easily attainable.
- Comes from the heart and represents our strongest values and commitments.
- Inspires hope.
- Says in a dramatic way what is possible if everyone works together.
- Creates the spark and excitement that lifts the organization out of the mundane.

- OUR VISION IS:

Staffing and Analysis

- **The minimum staffing approach requires police supervisors and command staff to estimate a sufficient number of patrol officers that must be deployed at any one time to maintain officer safety and provide an adequate level of protection to the public**

- A workload analysis can be performed for an assessment based on a patrol needs and *IS* useful in other departments within the police department.

Shift Relief Factor

1 spot $24 \times 365 = 8,760$ hours

8,760 divided by 5 employees = 1,752

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Each employee “works”

- **5 days a week, 8 hours, 52 weeks = 2,080 hours/YR**
 - **Subtract 120 hours (3 weeks) vacation average**
 - **Subtract 80 hours (10 Holidays)**
 - **Subtract 48 hours (6 days) sick average**
 - **Subtract 40 hours (5 days) internal training a year**
 - **Subtract 40 hours (5 days) outside training a year**

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- 1,752 hours left to work all year
- **1,752 x 5 employees = 8,760 hours = 1 spot 24 x 365**

Staffing

- The “authorized level staffing approach” uses budget allocations to specify a **NUMBER** of officers that may be allocated.

1.41 Officers (per 1,000)
x 76 (as in Residential Pop. 76,000)
= 107.16 Officers for 76,000 residents

1.41 Officers (per 1,000)
x 198 (as in Residential Pop. 198,000)
= 279.18 Officers for 198,000 residents

- **Current issues facing most law enforcement include, but are not limited to:**
 - **Budget cutbacks**
 - **Shrinking supply for qualified personnel**
 - **Increasing community demands**

Staffing

- **The “workload staffing approach” estimates FUTURE staffing needs of police departments by modeling the level of current activity based on demand for service .**
- **What differentiates this approach is the requirement to systematically analyze and determine staffing needs based upon actual workload demand while accounting for service-style preferences and other agency features and characteristics.**

Barriers to Planning

- Change creates fear and uncertainty
- Managers are too busy and do not have time to adequately plan
- The environment may be complex and volatile
- Tendencies toward inflexibility
- Fear of failure
- Lack of organizational knowledge

Silos

A barrier to Planning



Overcoming the Barriers to Planning

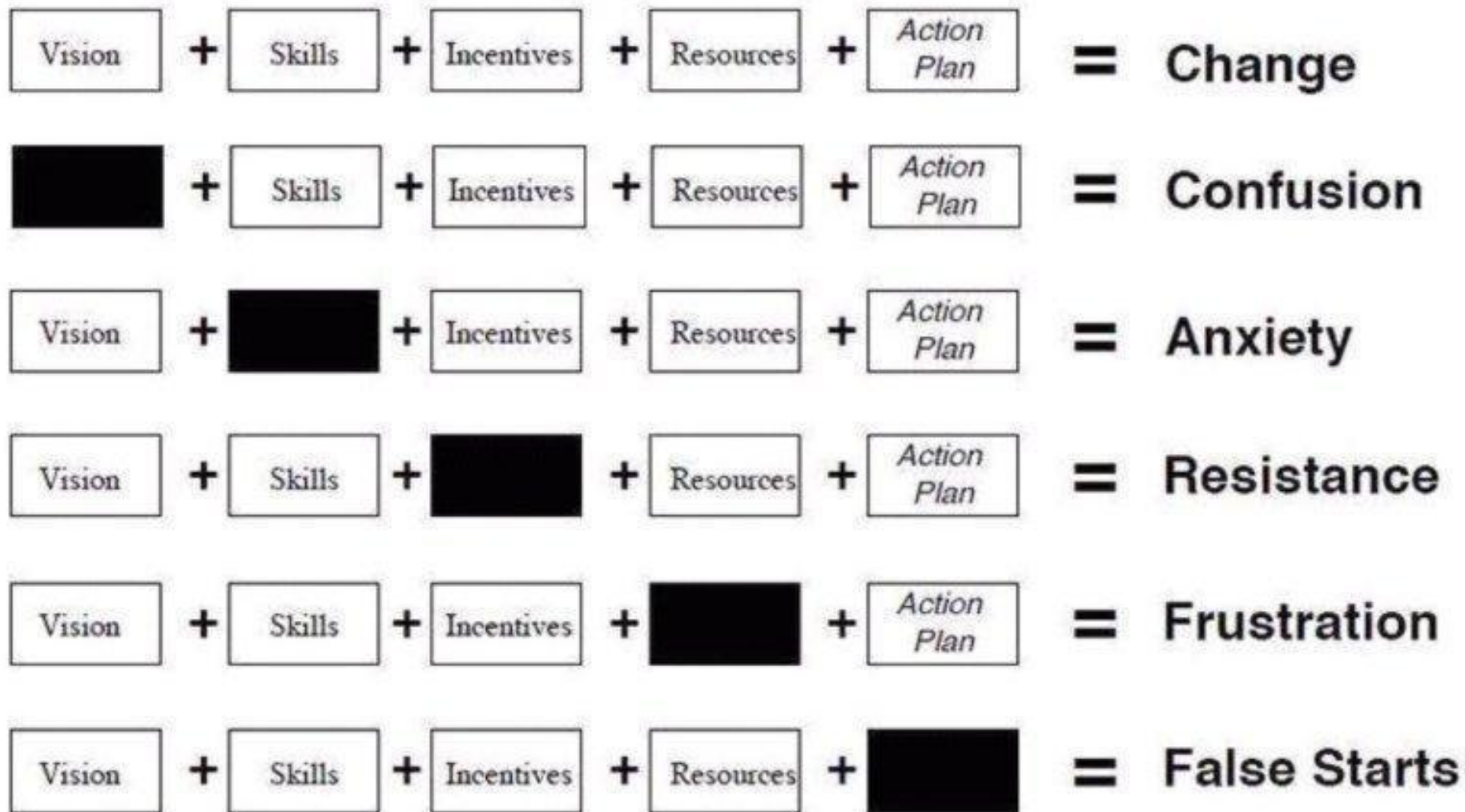
- **Involve all Department members in the decision making**
- **Encourage strategic planning**
- **Encourage and embrace a diversity of views**



Cost to Poor or No Planning

- Unclear expectations
- Lack of direction
- Confusion
- Lower production or lower standard of care
- Higher costs
- Unfulfilled mission
- Absence of standards
- 7 P's (Proper Prior Planning Prevents Piss Poor Performance)
- Others?

Managing Complex Change



Adapted from Knoster, T., Villa R., & Thousand, J. (2000). A framework for thinking about systems change. In R. villa & J. Thousand (Eds.), Restructuring for caring and effective education: Piecing the puzzle together (pp. 93-128). Baltimore: Paul H. Brookes Publishing Co.

SMART Goals

- SPECIFIC
- MEASURIBLE
- ATTAINABLE
- RELEVANT
- TIME BASED



Specific

- The goal must clearly state what is to be achieved, by whom, where and when it is to be achieved. Sometimes it may even state why that goal is important. Not all of these questions will apply to every goal, but it is important to ask all the questions in order to assess how specific your goal is and make it as clear as possible.



Measurable

- Measurability applies to both the end result and the milestones along the way to attaining a goal. It answers the question of quantity – how much, how often, how many? The milestones are signs along the way that will tell you that you are on the right track to achieving your goal.
- It has been said that what cannot be measured cannot be managed. This is often true when it comes to goals. Sometimes it is difficult to measure a goal, but at such times there is usually an indirect measure that can be applied.

Attainable

- You should ensure that the goals you set are achievable. If you set goals that are unbelievable even to yourself it is very unlikely you will achieve them. This is equally important when setting goals for a group. If the people for whom the goals are being set do not believe they are attainable, it is unlikely they will work wholeheartedly towards achieving them. Agreement and participation in the SMART goal setting process is important in such cases to ensure that most people are happy with how realistic the goals are. Secondly, the goals must be possible, all things being equal.



Relevant

- Your goals must be relevant to what you want to achieve in the short term and the long term. Understanding your organizational or personal vision, mission and purpose is critical in this respect.
- Sometimes you can be tempted to do something simply because it is easy and sounds great, only to discover later on that it has no long term importance to what you want to achieve as an individual or an organization.



Time-Based

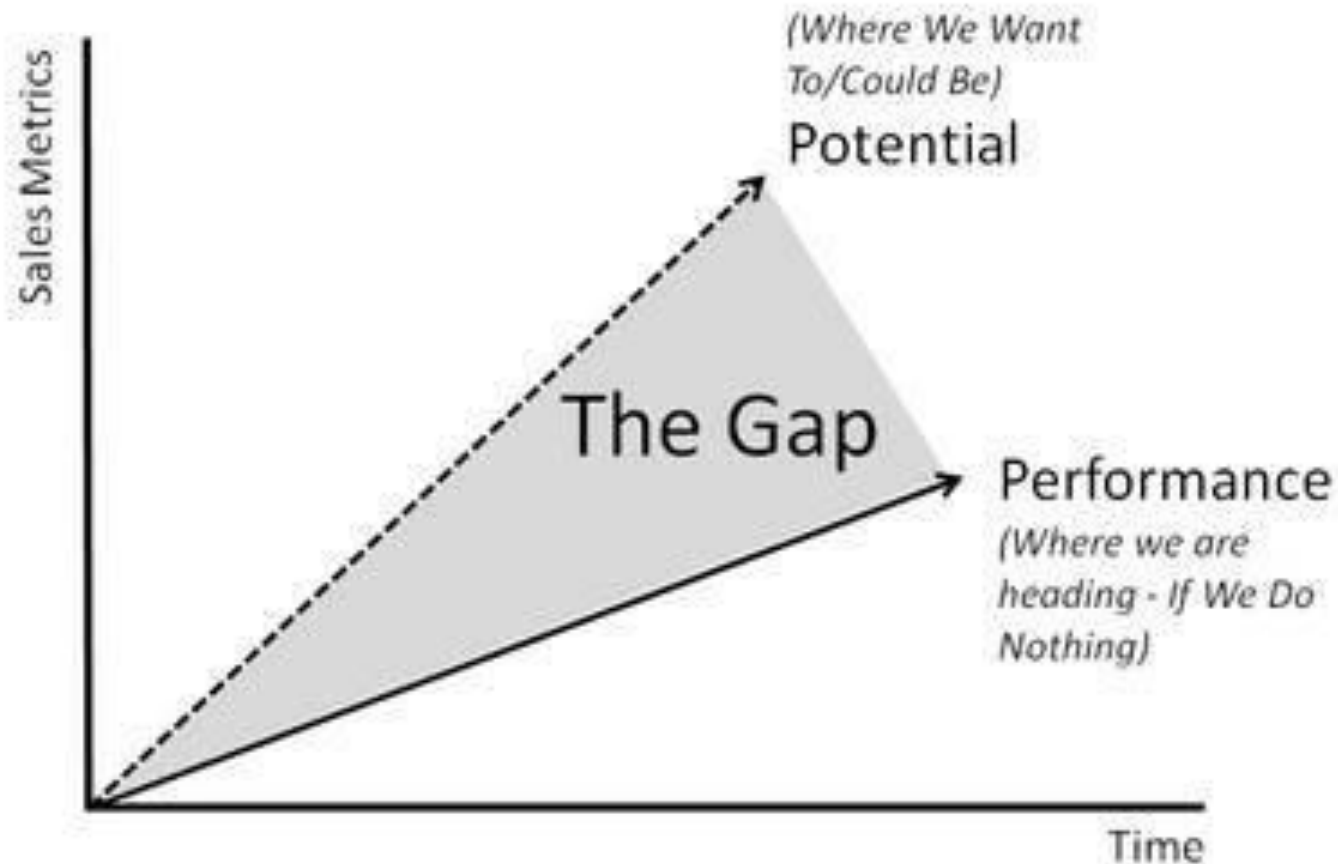


- This sometimes overlaps with the goal being Specific, but it aims to ensure that you put a time-frame to your goals.
- Someone once said a goal is a dream with a time-frame to it. Simply deciding by when you want to achieve something can be a good motivator. It can prevent you from procrastinating because you know that you are working to a deadline.

SMART Goals

Intention	Specific	Measurable	Attainable	Relevant	Time Based
What is it that you wish to achieve?	Who? What? Why? Where? When?	How much? How often? How many?	Achievable?	Is it important to what you want to achieve ultimately?	When?

GAP Analysis



Gap Analysis Template: 4 Steps To Completion

1. Identify the **current** state.
2. Identify where you **want** to be .
3. Identify the gaps.
4. Devise improvements to close the gaps.

1. **Identify the current state** - strategic plan or a Balanced Scorecard? What are your current numbers? Calls for service? Clearance Rate?
2. **Identify where you want to be** - within a reasonable timeframe. NEED to be? (accreditation?) Best Practice? New Law (compliance?)
3. **ID the gaps** – also find out WHY there is a shortcoming. WHY aren't you where you'd like to be?
4. **Goals** - timeline and costs associated with closing the gaps

S.W.O.T.

- **SWOT Analysis**
- Its key purpose is to identify the strategies that will create a firm specific model that will best align a department's resources and capabilities to the requirements of the environment in which it operates.

Strengths

- Strengths are the INTERNAL qualities that enable us to accomplish the organization's mission. These are the basis on which continued success can be made and continued/sustained. Strengths can be either tangible or intangible. These are what you are well-versed in or what you have expertise in, the traits and qualities your employees possess (individually and as a team) and the distinct features that give your organization its consistency. Strengths are the beneficial aspects of the organization or the capabilities of an organization, which includes human competencies, process capabilities, financial resources, products and services, customer goodwill and brand loyalty. Examples of organizational strengths are huge financial resources, broad product line, no debt, committed employees, etc.

Weaknesses

- Weaknesses are the INTERNAL qualities that prevent us from accomplishing our mission and achieving our full potential. These weaknesses deteriorate influences on the organizational success and growth. Weaknesses are the factors which do not meet the standards we feel they should meet. Weaknesses in an organization may be depreciating machinery, insufficient research and development facilities, narrow product range, poor decision-making, etc. Weaknesses are controllable. They must be minimized and eliminated. For instance - to overcome obsolete machinery, new machinery can be purchased. Other examples of organizational weaknesses are huge debts, high employee turnover, complex decision making process, narrow product range, large wastage of raw materials, etc.

Opportunities

- Opportunities are presented by the environment within which our organization operates. These arise when an organization can take benefit of conditions in its environment to plan and execute strategies that enable it to become more profitable. Organizations can gain competitive advantage by making use of opportunities. Organization should be careful and recognize the opportunities and grasp them whenever they arise. Selecting the targets that will best serve the clients while getting desired results is a difficult task. Opportunities may arise from market, competition, industry/government and technology. Increasing demand for telecommunications accompanied by deregulation is a great opportunity for new firms to enter telecom sector and compete with existing firms for revenue

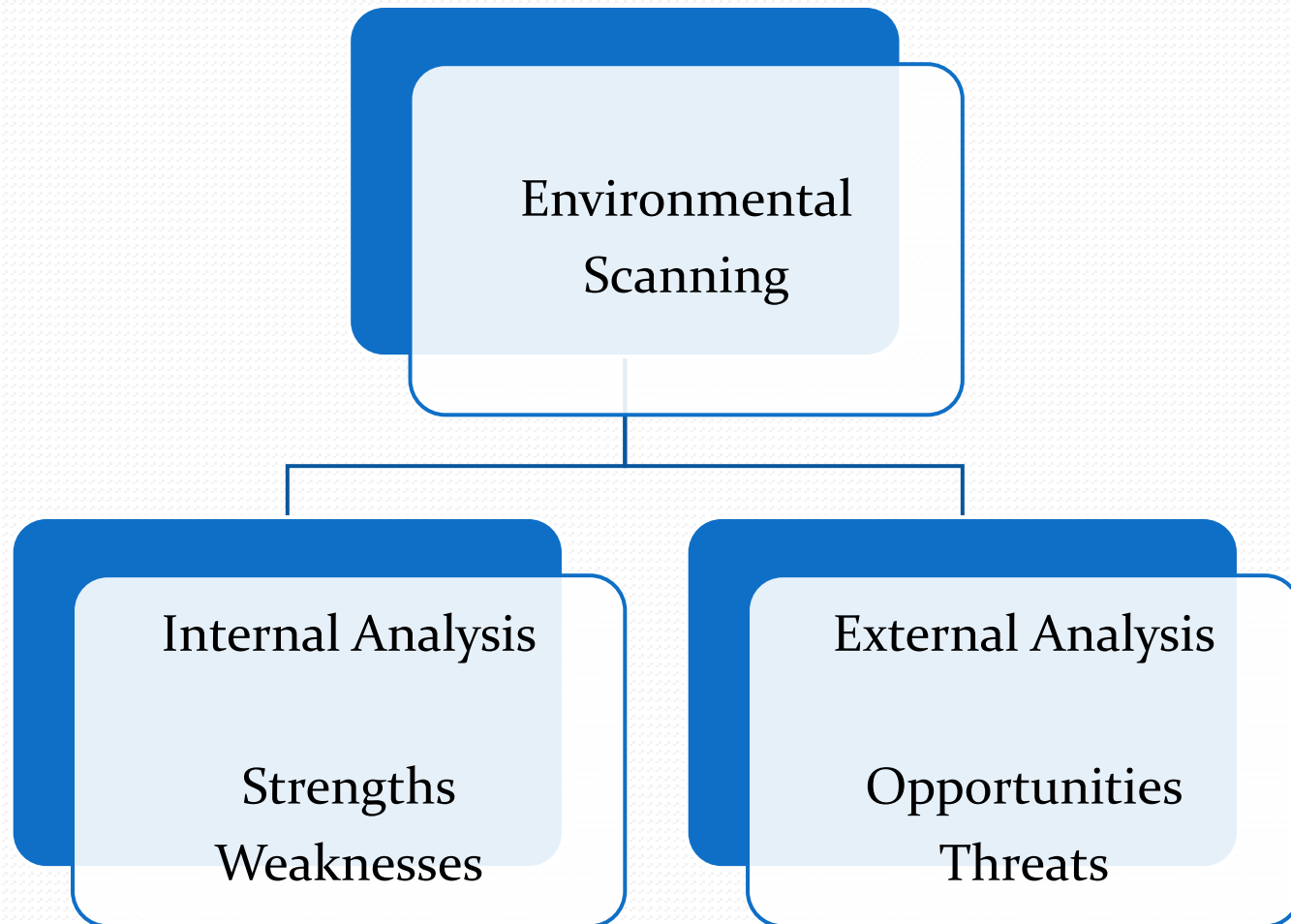
Threats

- Threats arise when conditions in the external environment jeopardize the reliability and profitability of the organization's mission and goals. They compound the vulnerability when they relate to the weaknesses. Threats are uncontrollable. When a threat comes, the stability and survival can be at stake. Examples of threats are - unrest among employees; ever changing technology; increasing competition leading to excess capacity; etc.

S.W.O.T.

- It is a source of information for strategic planning.
- Builds organization's strengths.
- Reverse its weaknesses.
- Maximize its response to opportunities.
- Overcome organization's threats.
- It helps in identifying core competencies of the firm.
- It helps in setting of objectives for strategic planning.
- It helps in knowing past, present and future so that by using past and current data, future plans can be chalked out.

S.W.O.T. Analysis



Strengths

[*]good technology
 [*]excellent training
 [*]unarmed police force
 [*]customer satisfaction
 [*]skilled staff
 [*]modernization and reform
 Training programs for personal growth and job knowledge
 Mentors with whom thoughts, ideas, and plans can be shared
 Education, knowledge, network of contacts

Weaknesses

[*]Weak management team
 [*]bureaucracy
 [*]poor on-going training
 [*]retirements
 [*]shortage of resource
 [*]lack of acceptance
 Negative coworkers or confrontational employees
 Change in the administration
 Weakness of personal abilities such as communication skills, people skills, leadership skills

 They get paid too much for giving tickets and directing traffic.

Opportunities

[*]Online
 [*]government support
 [*]good media relations
 [*]technological advancement
 [*]positive feedback from public
 Changes in technology
 Recent court decisions
 Changes in public policy which affect police work

Threats

[*]Economic slowdown
 [*]External changes (government, politics, taxes, etc)
 [*]Lower cost competitors or imports
 [*]crime escalation
 [*]new crimes cyber crime
 [*]unemployment
 [*]corruption
 Budget cuts
 Negative publicity in media
 Local events