

POLICING AUGUSTA: NEW CHALLENGES AND NEW RESPONSES



**A Report from
The International Association of Chiefs of Police**

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INTRODUCTION

The International Association of Chiefs of Police (IACP) contracted with the city of Augusta (September 27, 2010) to conduct a comprehensive study of the management and operations of the Augusta Police Department (APD).

SCOPE OF STUDY

The contract called for the IACP to examine, and when appropriate or not constrained by information limitations, make improvement recommendations to the following areas:

- Policing Characteristics and Trends
- Mission, Goals, Objectives, and Values
- Policing Style
- Accountability
- Crime and Crime Workload
- Services and Service Workload
- Organization
- Staffing Requirements and Resource Leveraging
- Community Services - Patrol
- Community Services - Traffic
- Community Services - Investigations
- Crime Prevention and Fear Reduction
- Crime Analysis and Intelligence-Led Policing
- Professional Standards and Trust Building
- Management Support Services
- Human Resources Management
- Career Development
- Information Management
- Communications
- Workforce Attitudes
- Patrol Allocation and Deployment

Our findings and recommendations follow.

STUDY STAFF

Members of the assessment team included Joseph Blackburn, Senior Associate Consultant, former Deputy Superintendent of the Pennsylvania State Police; Palmer Wilson, Senior Associate Consultant, Lieutenant (retired), Montgomery County, Maryland Police Department; Tracy Phillips, Senior Project Specialist, IACP; and David Kurz, Chief, Durham, New Hampshire Police Department. Jerry Needle, Director, Programs and Research, IACP, managed the study.

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For technical assistance and a continuing demonstration of cooperation we wish to acknowledge:

- ❑ William Bridgeo, City Manager
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- ❑ Administrative Secretary Jody Hansen
- ❑ Detective Secretary Susan Bonsant

Special thanks are offered to Chief Wayne McCamish who advocated for the study and created a welcoming environment for our staff.

Finally, our thanks go to all of the men and women of the Augusta Police Department who participated in interviews and/or took the time and interest to complete workforce surveys.

PRINCIPAL FINDINGS AND RECOMMENDATIONS

The men and women of the APD produce and process an impressive volume of work. The city and community are and have been receiving more than satisfactory return on investment. Credit goes to department leadership, command, and members of the workforce, sworn and non-sworn. Commitment to serve the community well is easily noted. Functioning in a fixed staff environment for at least the past five years, adjustments have occurred in resource allocations – shifts to field activity. Accordingly, functional erosion has occurred, internally, the fiscally-driven elimination of the Juvenile Officer/Crime Prevention position being of most concern to us.

The five-year absence of resource augmentation and other factors we do not know about has left an organization devoid of critical functions and practices such as crime analysis, research, intelligence-led policing, and problem-solving. The department is not preparing for the revolutionary impact that social media technology and practices are having in society in general and policing in particular. Some of these are present only as collateral, secondary considerations. Realistically, without measurable staff augmentation, some of the opportunities that have been lost cannot be retaken in the foreseeable future. Some can.

Promotional opportunities have been and remain very limited, an often insurmountable de-motivator in small organizations. “New Normal” is a term/euphemism that has gained currency across state and municipal governments to capture the reality that service, staff, and infrastructure cuts must be made now and that the immediate future promises little, if any, turnaround. A number of states are planning bankruptcy proceedings. Even wealthy counties and cities are attempting to cope with unprecedented deficits. Augusta is not an exception. The APD has already flat-lined in staffing. Even remaining at its 55.5 position level, and continuing the current business model, institutionalized pension and healthcare costs present the city with rising costs. This fiscal reality must suffuse APD decision-making going forward. It has been foremost in framing this report.

I. THE POLICING ENVIRONMENT

Informational command of the environment that must be policed, as it is today and as it is likely to be tomorrow, is an essential prerequisite to informed judgments regarding policy, operational, and resource requirements of the Augusta Police Department. Service population, crime incidence, non-crime service demands, available resources, and trends in these factors are core elements of a basic environmental profile.

- ❑ **Crime Conditions and Public Protection.** We projected that the APD would record about 1,274 serious offenses in 2010, about 25 a week. This

factors to a crime rate of 691 per 10,000 population or a victimization rate of one of every 14 residents (although not all victims are residents). Considering that three-quarters (75%) of all serious crime is theft rather than violent crime, there does not seem to be a basis for anything more than normal concern. Burglaries are increasing, which is “treatable” through best-practice crime analysis and problem solving, as is theft. Focused collaboration with citizens and educational campaigns may be an answer. (Serious/Part 1 offenses are: homicide, rape, robbery, aggravated assault, burglary, larceny, motor vehicle theft, and arson.)

Part 2 offenses could decline slightly for 2010. The Part 2 data sets out several considerations that call for APD action. Vandalism is the most commonly recorded Part 2 offense, 21% of the total. The APD is urged to find patterns in this offense subset and take remedial action. Other (simple) assaults account for 20% of all Part 2s. Assaults are often gateway actions that lead to more serious crimes, aggravated assault, or worse. More resident to corrective interventions, analysis of these crimes may reveal potential for minimizing future incidence.

The number of recorded Drug Abuse Violations is holding steady. These events, often arrests, result mainly from self-initiated proactive police work. This is a positive. The same cannot be said for DUIs, which dropped measurably in 2010.

(Part 2 offenses include a mix of person-to-person, property, and order-maintenance crimes and violations. Examples include simple assaults, DUI, vandalism, and disorderly conduct.)

We see nothing in the crime profile that demands immediate field staffing (patrol) augmentation and should future crime analysis reveal patrol augmentation-dependent interventions that course should be seriously considered.

- **Services Delivery.** The APD prides itself on responsiveness and citizen service. The Workload Profile demonstrates a seemingly limitless array of service activity. In this regard the department serves citizens well – and cost-effectively. However, as our Patrol Staffing and Deployment analysis reveals, APD first responders have exhausted their capacity. Indeed, absent design and introduction of a new service model, staffing augmentation is called for. This is not recommended by the IACP, based on current activity and trends. Accepting that a new normal service model is the best choice for the immediate future, the APD must reexamine and reconsider (1) what they do – the portfolio of services

offered and (2) how they do it – business practices. The APD should, or must, depart from the full-service model that is its custom. It must cut the current service level.

- **Experience and Training.** The APD has an experienced command cadre, fully capable of providing the leadership the agency requires to manage in the cost-challenged environment that now confronts the city. This report calls for design of a new business model. To build it requires dozens of decisions and many hard choices. Our interactions leave us confident that the APD has the talent required to complete the work successfully.

- **Demographics.** Population is a primary correlate of service demand. Rapidly increasing population triggers additional service demands. Population is not currently a factor that needs to be considered for staffing decisions for the immediate future.

Knowledge of population subsets is important for macro analysis of current and future staffing. Certain groups, such as teens and the elderly can consume police services disproportionately. (Gangs and runaways for youth and medical assists for the elderly are examples). Current subset data were not available.

II. READINESS FOR CHANGE: THE ORGANIZATIONAL CULTURE

Police cultures dictated by external demands, such as rampant crime, burgeoning population, dramatic resource shortfalls or combinations, face powerful barriers to well planned, methodical, effective change. Organizational and operational stability is rarely present in sufficient degree. Preceding observations should make clear that this is not the case in Augusta. The APD has required stability, for systematic, successful change.

Workforce perceptions, attitudes, and motivation is a second class of predictors for efficient organizational transformation. Based on the results of our workforce survey, the APD workforce regards four classes of practices and conditions favorably: their understanding of unit/shift goals; quality of supervision; quality of training; and understanding of performance standards. It does not hold the same regard for: understanding of APD goals; value of policies and procedures; internal affairs and discipline practices; performance evaluation; special assignment and promotional practices. Due somewhat to arbitrariness of our quantitatively established evaluation criteria, several of the dysfunctional responses fall just slightly short of a positive response.

Collectively viewed and combined with IACP's experiences on-the-ground, the results of the workforce survey paint a picture of a cohesive organization that is well prepared to engage in and contribute productively to organizational transformation attempts to "hold on" and then move forward through the fiscal turbulence that is setting in. We urge that the next CEO and commanders and supervisors employ concepts and strategies of transformational leadership. This will maximize the energy, experience, intellect, and motivation of the workforce.

III. PROPOSED ORGANIZATION AND STAFFING

From a resource investment and production standpoint, the APD has served the community well. It delivers high levels of service, with few centers of unused capacity present in the organization. At the same time, the implications of the environmental factors examined, none more compelling than the need to find the "new normal," workload measurements, and the opportunity for prudent introduction of a series of "better practices," call for reprioritizing APD resource allocations and the organization of resources.

The organization and staffing model proposed reflects, to the extent possible, the following design concepts and guidelines:

- ❑ Need to maximize fiscal austerity
- ❑ Need to match workload with productive capacity
- ❑ Opportunity to exploit the values and techniques of contemporary analytics (such as Compstat and intelligence-led policing); prevention options (citizen crime prevention education); citizen/community partnership, service sharing, and service sacrifice (reductions in APD-supplied services)
- ❑ Opportunity to leverage resources (volunteerism)
- ❑ Rebalance supervisory shortfalls and excesses (short in dispatch; excessive command-officer ratio collectively)
- ❑ Need to incentivize the path to the CEO and command positions (eliminating the Deputy Chief stovepipe and adding senior sergeant promotional positions)
- ❑ Need to intensify leadership preparation and professional growth (rotations among, especially, lieutenants).

What we present is a model. It is not to be considered static or the one best way. Alternative models can be equally effective.

The proposed organization is not a radical departure from the current. This should enable manageable minimally disruptive transitions. The three-branch Patrol, Investigations, and Communications structure is retained. Beyond several title changes that we believe better reflect the intent and focus of services, the major revisions would be:

- ❑ Elimination of the Deputy Chief position
- ❑ Transfer of one lieutenant position to a proposed newly created Professional Standards unit
- ❑ Establishing supervisory and senior supervisory positions.

When and if fiscal conditions improve, a civilian crime analyst and a social services liaison, also civilian, should be added to the staff complement. These are shown in dotted line boxes. They are not counted in the proposed table of organization. The social services liaison would fill and replace the Juvenile/Crime Prevention officer position which existed for several years. The Traffic Officer position (vacancy) should be removed from the table of organization.

IV. POLICIES AND PRACTICES

As is always the case, examination of policies and practices surfaces a record of excellence and need/opportunity for improvement.

- ❑ **Goals and Objectives.** The limited size of the APD workforce, its concentration in one facility, and the presence of a long-serving leadership cadre contribute to convenient interpersonal exchange and intra- and inter-rank accessibility. It is not surprising therefore that the APD is characterized by an organic approach to selecting, conveying and evaluating achievement of goals and objectives. This is not prudent in our view, particularly considering the fiscal retrenchment that has set in and is expected to continue. The APD and the city will benefit in many ways by developing and exploiting the potential of a sound structure of goals, objectives, and performance metrics – with a distinct, external, outcome orientation. Done properly, the endeavor could produce the outlines of/ framework for a new business model for the APD, powered by a retreat from the current full-service model.

- **SOPs.** Half of the department is unable (has chosen not) to regard the body of legal and behavioral guidelines sufficiently suitable for professional needs. This is not surprising. The weaknesses lie in the cumbersome nature of the SOPs. Law enforcement personnel are obligated, everywhere, to master an almost unmanageable volume of policies and procedures, as well as laws and codes, which both direct and restrict their behavior. Agencies must be deliberate in finding ways to mitigate the burden. Functioning with 500 pages of historically accumulated material, ungrouped, minimally cross-referenced, and un-indexed, there is little evidence of attention to user needs.

- **Professional Standards.** Core measures of integrity and professional behavior are: number of complaints/allegations of misconduct filed by citizens and supervisors; nature of those complaints/allegations; patterns of findings, particularly the number sustained; and trends of the foregoing measures. Companion measures of significance include: openness of the complaint process (intake); responsiveness to complaints and transparency of investigations; fairness of the disciplinary process, both equality and equity; and citizen and officer satisfaction with results of the complaint/internal affairs process.

Judged against the criteria we are able to apply, the APD fares reasonably well with regard to the core measures, less well with companion measures.

- **Patrol Operations.** The APD is getting high production from its investment in first responders. In fact, shift officers are somewhat more call-driven than we recommend. Command, two lieutenants, is unnecessarily rich and sergeants have a distinctly uneven call-response pattern and capacity that can be employed to supplant first responder activity when necessary. Average operational workload percentage is 36.34%. The IACP preferred standard is maintaining 30% or less. (Operational workload is, simplistically put, calls for service.)

On the plus side, administrative activities fall well below the 30% standard, reporting in at 20.93%. While some time can be recouped from this area and essentially “loaned” to the operational workload sector to balance out or mitigate the higher than normal 36.34% level, it is suggested that the department look elsewhere to reduce operational workload. The 4.43 officer increase called for by our methodology reduces to 2.43 (three positions) when the recent new hires are taken into account. Workload reduction actions can offset the need for additional staff entirely. Further, the proactive workload reduction strategy should

prepare the city and the APD to weather the impact of further financial fallout for at least the immediate future.

- **Criminal Investigations.** The APD investigations model, principally the distribution of authority, is somewhat unorthodox. The gatekeepers are the Patrol sergeants, six of them, and two Patrol lieutenants. In most agencies distribution of/authority over cases resides in CID. Still, by the primary effectiveness measure, clearances/closures, the system seems to be working well. The APD reports higher than average clearance rates. (We have not conducted a clearance audit.)

A number of positives characterize the investigations function. While we are not certain what the Patrol follow-up portfolio contains, CID does seem to be getting the more demanding cases. The MDEA is being relied upon heavily as a regional partner and appears to be siphoning off caseload. Supervisors and CID detectives are receiving relevant training. We question whether a significant proportion of first responders are receiving investigations training in sufficient amount.

The most salient action/finding to emerge from analysis is the presence of excess capacity in CID. Unless metrics exist which have not been brought to our attention, there is no conclusion to draw other than caseloads are not heavy, just under five on average. Factor in also that CID has a command/supervisory ratio of 2 (sergeant, lieutenant) to 5 (detectives, secretary) or 1:2.5.

This is, in fact, a fortunate circumstance. The APD can benefit from workload redistribution – shifting some follow-ups from Patrol to CID to alleviate the operational labor call load. The CID should consider ramping-up its intelligence function, greater integration with the fusion center, for example. A SARS (Suspicious Activity Reporting) capacity is recommended for Patrol and CID. Last, backfilling the void left by the vacated Juvenile Officer position is a priority in our view.

- **Juvenile Services.** School enrollment in Augusta totals 2,300, about 12% of resident population. Enrollments, our surrogate for the youth population, is trending downward, very marginally.

Early police intervention with youth (compared to non-intervention/arrest) is favored by the IACP staff. Independent evidence suggests that early intervention is more cost effective, dollar, social, and individual costs. The program strategy administered by the APD prior to 2006 is one

we value. Recognizing that available data are not cause for alarm, we still recommend restoring a focus on juveniles.

The APD must reemphasize youth services as a priority. Field officers, Patrol and detectives, are the key players in youth services. It must intensify training. Data indicate that officers who joined the agency beginning in 2005 have not had material youth-focused in-service training. Discussions suggest that APD-school district collaboration is not what it can be. The potentials of a School Resource Officer have never been realized.

- **Communications and Records.** The Communications Division is the APD version of what in many police agencies is titled administrative or support services. Communications and records functions are frequently grouped. Tied together by evolving technology, the IT function is often, and logically part of the grouping. Because of the information and IT base, crime analysis is often hosted in support services. The APD does not have a formalized crime analysis operation. We envision the APD building upon Communications Division functions and assets to stand-up and supply a series of capacities needed to take the agency forward in coming years including predicative policing, social media management, and processing citizen crime reports to alleviate the need for first-responder mobile response.

- **Career Development: Training and Education.** The APD has been industrious in promoting the development of its most prized asset, the workforce, and in protecting skill and knowledge levels. American law enforcement officers generally receive a solid foundation in law enforcement fundamentals at state/state-sanctioned police academies. We have no reason to believe otherwise for MCJA-trained recruits. Mandatory in-service requirements are being satisfied. In-service elective training is robust, overall. The specialist training record is mixed. Investigator training is ample. Training for dispatchers is limited. Leadership training is not discouraged. Whether it is an agency priority or the result of self-selection is not clear. More could be done. The FTO program requires attention. It lacks structural components, primarily FTO/recruit manuals that would enhance teaching and learning potential.

V. **PRIORITY RECOMMENDATIONS**

This report provides more than 50 recommendations. We do not expect that all will meet with APD approval. Nor could they be implemented in their entirety. No system

can absorb this much change and some will become untenable as conditions and dynamics change. We believe the following 10 to be most worthy.

WORKLOAD RESTRUCTURING

1. Reduce the workload of the APD's first responders and their field supervisors.

Prescribed actions include:

- a. Identify calls for service that do not require immediate or any mobile, on-scene response and/or can be serviced in a different way.
- b. Employ telephone, Internet, Community Service Officers, and VIPS (Volunteers in Police Service) to take citizen reports and other guidance currently provided by first responders.
- c. Allocate a greater number of follow-up investigations to CID.

2. Reexamine the return-on-investment (ROI) from the Parking Enforcement Officers.

These positions seem likely candidates for conversion to Community Service Officers (CSOs).

To fully obviate the need to augment the first responder complement (2.4 officers) the APD must recover and reallocate 3,400 hours currently consumed by mobile response, investigations, elective, non-crime services.

3. Employ VIPS throughout the agency.

CAPACITY BUILDING

4. Develop an information-supported analytics capability. Crime analysis, Compstat, and problem-solving capacities are essential.

5. Intensify the level and scope of community engagement and criminal justice/social service partnerships.

More work with businesses, NGOs, and schools hold promise. The APD should be especially mindful of crime prevention and asset recovery opportunities. (Reduction of intrusion alarms and early intervention on juvenile issues, for example.)

Interactions and partnership with colleague law enforcement agencies seem ripe for strengthening.

WORKFORCE PROTECTION AND DEVELOPMENT

6. **Reexamine the personnel performance evaluation practices.**

7. **Establish the positions of senior sergeant in the Patrol Division.**

This would produce three promotional opportunities - in the proposed, renamed Community Services Division.

8. **Establish a Senior Dispatcher position.**

This, also, would afford a promotional opportunity, fix accountability, and relieve the burden on the Division Lieutenant.

9. **Enroll middle managers and commanders in 21st Century leadership development programs.**

The APD hosts a talented staff of supervisors (sergeants) and commanders. Formal leadership training should be accelerated. Consider a model similar to IACP's LPO-Leadership in Police Organization offering.

BEST PRACTICES INFUSION

10. **In addition to building crime analysis, Compstat, Problem-Solving and related data-centric Predictive Policing capacities, the APD is encouraged to consider implementation of the following programs and practices, going forward, when time and resources permit:**

- ❑ **Early Juvenile Intervention.** Agency-wide return to the early intervention strategy which flourished under the Juvenile/Crime Prevention Officer.
- ❑ **Police Corrections Partnerships:** Broadened and more formalized work with county probation and parole and the state corrections system.
- ❑ **SARS - Suspicious Activity Reporting.** Accelerated feeding of fusion centers and return of mission critical feedback to promote local and regional security. (The fusion center should have an all crimes/all hazards capacity.)

- **License Plate Reading Technology**. Automated license plate recognition systems (License Plate Readers) play an increasingly important role in public safety by enhancing productivity, effectiveness, and officer safety. LPR systems recognize, read, and compare motor vehicle license plates to “hot lists” much more efficiently than manual scanning and comparisons by patrol officers.

- **Social Media Capacity Building**. Progressive adaptation to social media environments and enhanced use of social media technology for crime prevention, community outreach, public information and education, and officer safety.

CHAPTER I: THE AUGUSTA POLICING ENVIRONMENT

Examination of the environment that must be policed, as it is today and as it is likely to be tomorrow, is an essential prerequisite to informed judgments regarding policy, operational, and resource requirements of the Augusta Police Department. Service population, crime incidence, non-crime service demands, available resources, and trends in these factors are core elements of a basic environmental profile.

SECTION 1: SERVICE POPULATION

The U.S. Census Bureau places Augusta city population at 18,444 (2009). The population has been stable for the past 10 years. Kennebec County population stands at 121,090, a small increase over the 2000 population of 117,214. Data on population composition (age, race, sex) is not available for years between the decennial census. We were able to locate a surrogate measure for youth population – school enrollments. Total student enrollment in Augusta city schools declined from just over 2,700 in 2001 to 2,291 (projected) in 2011, a decline of about 400 students, 15%. Declines were experienced in 2007, 2008, 2009, and 2010, less than 100 students each year.

Both the presence of the seat of Maine's government and commercial assets most probably inflate daytime populations.

SECTION 2: ECONOMIC FACTORS

Kennebec County's labor force numbered 63,778 in 2009. (Maine Department of Labor.) County unemployment rate was 7.6%, Augusta's 7.7%. The state of Maine is the largest employer, with almost 7,000 persons in state government and various independent authorities. Additional major employers in Augusta are Central Maine Power Company (1,000+ employees); Maine General Medical Center (1,000+ employees); and SCJ Systems (500-999 employees).

Augusta's political boundary has not changed in 150 years and none is anticipated. There is no unincorporated territory near Augusta. No annexations are planned. Housing starts have been few in recent years.

SECTION 3: CRIME - VIOLENT AND SERIOUS

For Uniform Crime Report (UCR) purposes, Part 1 crimes are:

Offense	2005	2006	2007	2008	2009	Change - Number	Change - Percent
☐ Homicide/Manslaughter	0	0	1	3	0	0	-
☐ Forcible Rape	16	22	16	8	11	-5	-31%
☐ Robbery	7	13	10	4	12	5	71%
☐ Aggravated Assault	<u>18</u>	<u>31</u>	<u>44</u>	<u>43</u>	<u>30</u>	<u>12</u>	<u>67%</u>
Violent Crime Total	41	66	71	58	53	12	29%
☐ Burglary	206	198	182	184	166	-40	-19%
☐ Theft	953	926	932	980	871	-82	-9%
☐ Motor Vehicle Theft	<u>22</u>	<u>41</u>	<u>25</u>	<u>40</u>	<u>32</u>	<u>10</u>	<u>45%</u>
Property Crime Total	1,181	1,165	1,139	1,204	1,069	-112	-9%
GRAND TOTAL	1,222	1,231	1,210	1,262	1,122	-100	-8%

- ❑ **Personal Crimes:** homicide, rape, robbery and aggravated assault. These four classes of offenses are referred to as “Violent Crime.”
- ❑ **Property Crimes:** burglary, larceny, motor vehicle theft, and arson.

The number of violent and serious crimes recorded by the APD for the five-year period 2005-2009 are displayed in Table 1. For the period the total declined moderately, from 1,122, 100 offenses, 8%, annual averages of 25 and 2%.

Incidence of violent crime has fluctuated, 41 in 2005, 71 in 2007, and 53 in 2009. For the year just closed, 2010, the total was 59. The trend has declined (from 2007 - the peak!). Aggravated assault is the most frequently occurring violent crime.

For the five-year period, property crimes also fluctuated but trended downward overall. After peaking in 2008, the number of recorded crimes declined measurably in 2009, 11%, a reduction in thefts being mainly responsible.

Data for 2010 (not shown in Table) are significant. As of mid-December, totals are measurably ahead of 2009, but consistent with preceding years:

	<u>Class</u>	<u>Number</u>
❑	Violent Crime	59
❑	Property Crime	<u>1,168</u>
	TOTAL	1,227

Total increase is 105 recorded offenses, 9.3%. Burglary and theft account for the change.

SECTION 4: CRIME - OTHER

Table 2 displays 19 classes of additional offenses documented by the APD. Normally regarded as Part 2 for UCR reporting purposes, there are a mix of person-to-person, property, and order-maintenance crimes and violations. Many are gateway crimes that have potentially more significant and lethal consequences, such as “other assaults” and DUIs.

In 2009 the Augusta community experienced 2,655 recorded Part 2 offenses. The most frequently occurring were:

- ❑ Simple Assaults (26% of the total)

Table 2
PART 2 OFFENSES 2006-2010

Offense Category	2006	2007	2008	2009	2010 ⁽¹⁾	Change Number (06-09)	Change Percent (06-09)
<input type="checkbox"/> Other Assaults	605	739	668	691	385	86	14.2
<input type="checkbox"/> Forgery and Counterfeiting	62	56	47	70	38	8	--
<input type="checkbox"/> Embezzlement	1	9	17	9	6	5	--
<input type="checkbox"/> Stolen Property: Buying, Receiving and Processing	12	6	11	14	3	2	--
<input type="checkbox"/> Vandalism	643	589	614	505	416	(138)	(21.5)
<input type="checkbox"/> Weapons: Carrying/Processing	6	10	13	13	15	7	--
<input type="checkbox"/> Prostitution and Commercialized Vice	4	0	1	3	0	(1)	--
<input type="checkbox"/> Sex Offenses (Except Forcible Rape and Prostitution)	10	9	7	5	5	5	--
<input type="checkbox"/> Drug Abuse Violation	132	174	128	137	135	5	3.8
<input type="checkbox"/> Gambling	0	0	0	0	0	0	0
<input type="checkbox"/> Offenses Against Families and Children	58	4	3	4	4	54	--
<input type="checkbox"/> DUI	64	76	69	122	77	58	90.6
<input type="checkbox"/> Liquor Laws	23	34	50	36	62	13	--
<input type="checkbox"/> Drunkenness	2	0	0	0	0	(2)	--
<input type="checkbox"/> Disorderly Conduct	112	215	184	218	162	106	94.6
<input type="checkbox"/> Vagrancy	0	0	0	0	0	0	--
<input type="checkbox"/> All Other Offenses	1,087	907	904	800	592	(287)	(26.4)
<input type="checkbox"/> Curfew and Loitering	0	0	0	0	0	0	--
<input type="checkbox"/> Runaways	13	24	32	28	45	15	--
TOTALS	2,834	2,852	2,748	2,655	1,945	179	(6.3)
⁽¹⁾ As of 9-30-10							

- ❑ Vandalism (19%)
- ❑ Disorderly Conduct (8%)

This pattern is holding in 2010.

The trend for the 2006-2009 period exhibits only moderate change, declines of 179 offenses, 6.3%, in total. Within the total there has been noticeable change in recorded vandalism offenses, a 21% decline, and in DUIs, a 91% increase. Projections suggest that last year's DUI total will not be equaled this year. The agency is on course to record 102.

SECTION 5: ARRESTS

Table 3 presents the APD arrest profile for the five-year period 2005-2009. Like recorded Part 1 crimes, the trend lines for violent and property crime arrests is flat, with changes (increases) of 3 and 10.

Total "Other" arrests show both more pronounced changes for the period, 12%, and noticeable year-to-year fluctuations. Within the data set the 2007 increase stands out as does the decline in "All Other" in 2009, offset by a pronounced increase in DUI arrests. Note the absence of entries for Offenses Against Family and Children for 2008 and 2009. Using 2009 as the benchmark, the most frequent arrests are for DUIs.

SECTION 6: ARRESTS - JUVENILE

Table 4 displays a sub-set of arrest data, Juvenile Arrests. The juvenile arrest data set is characterized by noticeable fluctuation in 2007, and 2008, and 2009, in all offense classes. In 2009 a juvenile was arrested for a violent or serious crime every fourth day, most often for a simple assault or theft. Arrests for drug abuse or liquor law violations were even less frequent, once every 13 days.

SECTION 7: CLEARANCES

Crimes are cleared in several ways, arrests being most common. Clearances may be credited "exceptionally" under UCR rules. This is proper when police identify a perpetrator but, for a variety of reasons, cannot/do not file charges - a complainant

Table 3
ARRESTS 2005-2009

Offense	2005	2006	2007	2008	2009	Change - Number	Change - Percent
☐ Homicide/Manslaughter	--	1	--	--	0	0	--
☐ Forcible Rape Total	1	2	2	1	1	0	0%
☐ Robbery Total	1	2	6	3	6	5	500%
☐ Aggravated Assault	<u>10</u>	<u>8</u>	<u>10</u>	<u>9</u>	<u>8</u>	-2	<u>-20%</u>
Violent Crime Total	12	13	18	13	15	3	25%
☐ Burglary Total	22	16	17	18	26	4	18%
☐ Theft Total	206	159	207	230	216	10	5%
☐ Auto Theft Total	<u>4</u>	<u>6</u>	<u>4</u>	<u>8</u>	<u>0</u>	<u>-4</u>	<u>-100%</u>
Property Crime Total	232	181	228	256	242	10	4%
☐ Arson				4	3	3	--
☐ Simple Assault	162	157	181	176	174	12	7%
☐ Forgery/Counterfeiting	13	11	14	6	13	0	0%
☐ Fraud	32	44	43	45	32	0	0%
☐ Embezzlement	--	--	5	5	3	3	--
☐ Possessing Stolen Property	9	6	--	5	1	-8	-89%
☐ Vandalism	45	38	49	43	37	-8	-18%
☐ Weapons Violation	6	6	4	1	2	-4	-67%
☐ Prostitution	1	--	--	--	--	-1	-100%
☐ Other Sex Offenses	7	1	3	2	6	-1	-14%
☐ Drug Abuse Violation	48	43	75	49	50	2	4%
☐ Gambling	--	--	--	--	--	0	--
☐ Offenses Against Family and Children	32	23	2	--	--	-32	-100%
☐ DUI	85	93	89	73	127	42	49%
☐ Liquor Laws	14	5	14	24	23	9	64%
☐ Drunkenness	--	--	--	--	--	0	--
☐ Disorderly Conduct	4	16	43	50	45	41	1,025%
☐ All Other (except traffic)	<u>371</u>	<u>370</u>	<u>495</u>	<u>484</u>	<u>413</u>	<u>42</u>	<u>11%</u>
All Other Total	829	813	1,017	967	929	100	12%
TOTAL ALL ARRESTS	1,073	1,007	1,263	1,236	1,186	113	11%

Offense	2005	2006	2007	2008	2009	Change - Number	Change - Percent
☐ Homicide/Manslaughter	0	0	0	0	0	0	-
☐ Forcible Rape Total	0	0	0	1	0	0	-
☐ Robbery Total	0	1	0	0	0	0	-
☐ Aggravated Assault	<u>3</u>	<u>2</u>	<u>0</u>	<u>1</u>	<u>1</u>	-2	-67%
Violent Crime Total	3	3	0	2	1	-2	-67%
☐ Burglary Total	10	8	1	7	7	-3	-30%
☐ Theft Total	58	80	54	99	73	15	26%
☐ Auto Theft Total	<u>4</u>	<u>1</u>	<u>0</u>	<u>3</u>	<u>5</u>	<u>1</u>	25%
Property Crime Total	72	89	55	109	85	13	18%
☐ Arson	0	0	0	0	0	0	-
☐ Simple Assault	32	35	25	32	36	4	13%
☐ Forgery/Counterfeiting	2	1	1	0	2	0	0%
☐ Fraud	2	2	0	1	0	-2	-100%
☐ Embezzlement	0	0	0	0	0	0	-
☐ Possessing Stolen Property	1	2	1	1	1	0	0%
☐ Vandalism	12	10	9	13	9	-3	-25%
☐ Weapons Violation	1	2	0	3	1	0	0%
☐ Prostitution	0	0	0	0	0	0	-
☐ Other Sex Offenses	0	2	0	0	1	1	-
☐ Drug Abuse Violation	13	6	8	4	14	1	8%
☐ Gambling	0	0	0	0	0	0	-
☐ Offenses Against Family and Children	0	0	0	0	0	0	-
☐ DUI	0	3	1	0	0	0	-
☐ Liquor Laws	11	8	8	16	14	3	27%
☐ Drunkenness	0	1	0	0	0	0	-
☐ Disorderly Conduct	0	0	2	1	2	2	-
☐ All Other (except traffic)	41	34	34	26	11	-30	-73%
☐ Curfew/Loitering	0	0	0	0	0	0	-
☐ Runaways	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	-
Less Serious Offense Total	115	106	89	97	91	-24	-21%
Total All Arrests	190	198	144	208	177	-13	-7%

refuses to go forward, for example. Cases that are suspended or are not pursued should not be credited as cleared (“administratively cleared” is the popular term).

Tables 5 and 6 document the number and rate of APD clearances for violent and serious crimes, 2005-2009. Table 6 reveals a very consistent pattern of Part 1 crime clearance, 49-53%. Significant numerical variations in “same offense” categories are limited to offenses which have not occurred in great numbers.

Offense	2005	2006	2007	2008	2009	Change - Number	Change - Percent
<input type="checkbox"/> Homicide/Manslaughter			0	2		0	--
<input type="checkbox"/> Forcible Rape	19	14	13	4	6	-13	-68%
<input type="checkbox"/> Robbery	6	5	9	1	8	2	33%
<input type="checkbox"/> Aggravated Assault	15	23	33	37	24	9	60%
<input type="checkbox"/> Simple Assault	383	493	454	517	382	-1	0%
<input type="checkbox"/> Burglary	55	50	27	35	41	-14	-25%
<input type="checkbox"/> Theft	367	366	360	346	344	-23	-6%
<input type="checkbox"/> Auto Theft	<u>12</u>	<u>27</u>	<u>9</u>	<u>20</u>	<u>9</u>	<u>-3</u>	<u>-25%</u>
TOTAL	857	978	905	962	814	-43	-5%

Offense	2005	2006	2007	2008	2009	Percentage Point Change
<input type="checkbox"/> Homicide/Manslaughter	--	--	0%	67%	--	--
<input type="checkbox"/> Forcible Rape	119%	64%	81%	50%	55%	-64%
<input type="checkbox"/> Robbery	86%	38%	90%	25%	67%	-19%
<input type="checkbox"/> Aggravated Assault	83%	74%	75%	86%	80%	-3%
<input type="checkbox"/> Simple Assault	78%	78%	80%	75%	72%	-6%
<input type="checkbox"/> Burglary	27%	25%	15%	19%	25%	-2%
<input type="checkbox"/> Theft	39%	40%	39%	35%	39%	1%
<input type="checkbox"/> Auto Theft	<u>55%</u>	<u>66%</u>	<u>36%</u>	<u>50%</u>	<u>28%</u>	<u>-26%</u>
TOTAL	50%	53%	51%	49%	49%	-1%

APD clearance rates stand up well when compared to national averages:

Offense	National Average (%)	APD Average (2009)
<input type="checkbox"/> Murder and Non-Negligent Homicide	73.1	--
<input type="checkbox"/> Forcible Rape	39.4	55.0
<input type="checkbox"/> Robbery	36.1	67.0
<input type="checkbox"/> Aggravated Assault	62.5	80.0
<input type="checkbox"/> Burglary	14.8	25.0
<input type="checkbox"/> Larceny-Theft	26.2	39.0
<input type="checkbox"/> Motor Vehicle Theft	18.2	28.0

The APD reports consistently higher rates than the averages for 1,628 cities in the 10-25,000 population class. (From Crime in the United States, USDOJ-FBI, 2010.)

SECTION 8: TRAFFIC SAFETY

The number and rate of vehicle crashes and pedestrian accidents are the most common measures of the success of traffic functions. Augusta's accident profile is presented in Table 8. Total number of recorded crashes and accidents declined during the 2005-2009 period, 219 accidents, 15%. The trend shows distinct fluctuations with over 1,500 accidents in 2005 and 2007, fewer in all other years.

	2005	2006	2007	2008	2009	Change - Number	Change - Percent
<input type="checkbox"/> Traffic Crashes/Accidents	1,509	1,380	1,504	1,386	1,290	(219)	-15%
<input type="checkbox"/> Pedestrian Involved	27	24	21	15	28	1	4%
<input type="checkbox"/> OUI Involved	24	25	15	22	17	(7)	-29%
<input type="checkbox"/> Fatalities	2	5	3	2	7	5	250%
<input type="checkbox"/> Injuries	465	442	434	371	296	(169)	-36%

Citation data (Table 9) is not complete. What is available suggests that the more positive accident picture in 2008 and 2009 may be attributable to increased enforcement, in the APD's case traffic "stops," instigated by a grant arrangement.

Table 9					
CITATIONS					
Offense	2005	2006	2007	2008	2009
<input type="checkbox"/> General Citations	n/a	n/a	n/a	1,742	1,605
<input type="checkbox"/> Speeding Grant Tickets - BELT	n/a	n/a	n/a	149	792
<input type="checkbox"/> Speeding Grant Tickets - SPEED	n/a	n/a	n/a	573	371
TOTAL CITATIONS⁽¹⁾	379	1,722	2,143	2,464	2,468
⁽¹⁾ In 2005 citations were not being recorded as they should have been.					

SECTION 9: WORKLOAD

Workload data are examined in several chapters in this report, most notably those that examine patrol/field staffing requirements and investigations (CID). Calls for service (CFS), a useful overall indicator, are introduced here. This data set reflects crime and non-crime demands of the public (calls for service), field-focused elective activity chosen by the APD, enforcement and community service, and some administrative activity.

Table 10 lists CFS and other workload by frequency - number of events (not time consumed, which is treated elsewhere). While the 2005 and 2009 totals match closely, totals for intervening years vary substantially, dramatically in 2007.

Using 2009 as a benchmark, the most frequently demanded and elective services and enforcement activities delivered by APD field patrol officers are:

Call Reason	2005	2006	2007	2008	2009	Change - Number	Change - Percent
<input type="checkbox"/> Abandoned MV	65	79	58	40	52	(13)	-20%
<input type="checkbox"/> Airplane Accident	-	-	1	2	1	1	-
<input type="checkbox"/> Airport Screening	-	-	-	317	1,076	1,076	-
<input type="checkbox"/> Alarm - Duress/Panic	59	57	50	61	78	19	32%
<input type="checkbox"/> Alarm Burglar	1,001	1,058	1,060	1,084	892	(109)	-11%
<input type="checkbox"/> Alarm Holdup	40	29	20	39	34	(6)	-15%
<input type="checkbox"/> Alcohol Violations	-	-	-	-	-	-	-
<input type="checkbox"/> Animal Complaint - Agricultural	-	-	-	-	21	21	-
<input type="checkbox"/> Animal Complaint - Barking	-	-	-	6	90	90	-
<input type="checkbox"/> Animal Complaint - Check Welfare	-	-	-	-	48	48	-
<input type="checkbox"/> Animal Complaint - Dangerous Dog	-	-	-	-	20	20	-
<input type="checkbox"/> Animal Complaint - Dog At Large	-	-	-	8	390	390	-
<input type="checkbox"/> Animal Complaint - General	1,495	1,509	1,509	1,500	474	(1,021)	-68%
<input type="checkbox"/> Animal Complaint - Stray Cat	-	-	-	-	325	325	-
<input type="checkbox"/> Animal Complaint - Unlicensed Dog	-	-	-	-	225	225	-
<input type="checkbox"/> Animal Complaint - Wild Animal	-	-	-	-	318	318	-
<input type="checkbox"/> Animal Complaint - Dog Bite	-	-	-	-	24	24	-
<input type="checkbox"/> Arrest - Officer initiated	24	22	10	10	13	(11)	-46%
<input type="checkbox"/> Arrest Warrant	169	110	125	127	95	(74)	-44%
<input type="checkbox"/> Arson	7	3	-	6	3	(4)	-57%
<input type="checkbox"/> Assault - on officer	1	-	-	-	1	-	0%
<input type="checkbox"/> Assault Aggravated	7	19	16	13	11	4	57%
<input type="checkbox"/> Assault Simple	278	319	354	326	311	33	12%
<input type="checkbox"/> Assist Citizen	862	1,084	1,176	1,253	1,649	787	91%
<input type="checkbox"/> Assist Other agency	457	686	898	709	584	127	28%
<input type="checkbox"/> Assist Other Dept	-	-	-	-	8	8	-
<input type="checkbox"/> Attempt to Locate	717	562	583	433	500	(217)	-30%
<input type="checkbox"/> ATV/Snowmobile Complaint	-	-	-	-	8	8	-

Table 10
CALLS FOR SERVICE 2005 - 2009

Call Reason	2005	2006	2007	2008	2009	Change - Number	Change - Percent
<input type="checkbox"/> Bomb Scare	5	15	4	3	1	(4)	-80%
<input type="checkbox"/> Bombing Actual	-	1	-	-	-	-	-
<input type="checkbox"/> Building Check	4,931	7,218	1,990	3,593	4,399	(532)	-11%
<input type="checkbox"/> Burglary from MV	276	207	197	251	204	(72)	-26%
<input type="checkbox"/> Burglary in Progress	17	25	43	31	23	6	35%
<input type="checkbox"/> Burglary Past	222	223	202	194	182	(40)	-18%
<input type="checkbox"/> Bus Stop Review	-	-	-	-	1	1	-
<input type="checkbox"/> Case Review	-	-	-	-	-	-	-
<input type="checkbox"/> Check Welfare Mental Health	-	-	-	248	205	205	-
<input type="checkbox"/> Check Welfare of Person	675	829	829	664	678	3	0%
<input type="checkbox"/> Child Abuse Offenses	9	17	8	14	11	2	22%
<input type="checkbox"/> City Ordinance Violation	248	151	325	269	201	(47)	-19%
<input type="checkbox"/> Civil Complaint	238	206	202	237	239	1	0%
<input type="checkbox"/> Committal -MGMC A2	99	201	142	136	82	(17)	-17%
<input type="checkbox"/> Committals	5	5	8	9	1	(4)	-80%
<input type="checkbox"/> Community Interaction	846	865	553	516	235	(611)	-72%
<input type="checkbox"/> Complaints Against Officer	1	1	-	2	-	(1)	-100%
<input type="checkbox"/> Computer Crimes	-	-	-	-	2	2	-
<input type="checkbox"/> Concealed Weapons Permit	-	-	-	-	-	-	-
<input type="checkbox"/> Counterfeiting	4	16	11	10	13	9	225%
<input type="checkbox"/> Criminal Mischief	611	602	496	489	396	(215)	-35%
<input type="checkbox"/> Criminal Threatening	-	-	-	-	3	3	-
<input type="checkbox"/> Criminal Trespass	383	392	344	326	260	(123)	-32%
<input type="checkbox"/> Criminal Trespass - public area	93	121	111	71	103	10	11%
<input type="checkbox"/> Crisis Team Contact	326	280	236	177	174	(152)	-47%
<input type="checkbox"/> Death - Accidental	-	-	-	1	-	-	-
<input type="checkbox"/> Death - Intended	12	7	7	3	5	(7)	-58%
<input type="checkbox"/> Death - Suspicious	1	1	-	-	-	(1)	-100%

Table 10
CALLS FOR SERVICE 2005 - 2009

Call Reason	2005	2006	2007	2008	2009	Change - Number	Change - Percent
☐ Death - Unattended	24	22	21	21	23	(1)	-4%
☐ Disabled MV	1,035	806	766	752	666	(369)	-36%
☐ Disorderly House	2	6	1	2	-	(2)	-100%
☐ Disturbance - Disorderly Conduct	515	598	655	596	610	95	18%
☐ Disturbance General	1,159	1,210	1,349	1,483	1,474	315	27%
☐ Domestic Dist	397	404	323	218	157	(240)	-60%
☐ Drug Furnishing	-	1	5	5	1	1	-
☐ Drug Offenses	7	7	6	9	6	(1)	-14%
☐ Drug Possession	41	8	22	22	28	(13)	-32%
☐ Drug Violation	-	-	-	5	10	10	-
☐ Embezzlement	-	-	-	2	-	-	-
☐ Escort - Ambulance	-	-	-	-	-	-	-
☐ Escort - Bank	8	5	3	1	7	(1)	-13%
☐ Escort - Funeral	1	1	3	-	1	-	0%
☐ Escort - Other Type	22	21	10	12	93	71	323%
☐ Escort - Police Transport	3	9	12	2	3	-	0%
☐ Fire - Auto	41	33	37	32	42	1	2%
☐ Fire - Brush	44	35	65	48	38	(6)	-14%
☐ Fire - Burning Permit	-	-	150	215	196	196	-
☐ Fire - Other	287	324	278	254	254	(33)	-11%
☐ Fire - Structure	53	53	52	42	41	(12)	-23%
☐ Fire Alarm Box	295	266	356	302	330	35	12%
☐ Fire Alarm Carbon Monoxide	10	16	22	14	25	15	150%
☐ Fire Inspections	103	69	96	93	74	(29)	-28%
☐ Follow Up Investigation	2,029	2,247	2,253	2,085	2,037	8	0%
☐ Foot Patrol	438	375	540	1,257	1,529	1,091	249%
☐ Forgery	9	12	13	11	13	4	44%
☐ Fraud Offenses	94	130	113	120	123	29	31%

Table 10
CALLS FOR SERVICE 2005 - 2009

Call Reason	2005	2006	2007	2008	2009	Change - Number	Change - Percent
<input type="checkbox"/> Gambling Offense	-	-	-	-	-	-	-
<input type="checkbox"/> General Offense	289	267	200	7	1	(288)	-100%
<input type="checkbox"/> Harassment	506	513	402	418	334	(172)	-34%
<input type="checkbox"/> Hazmat Incident	16	8	5	5	11	(5)	-31%
<input type="checkbox"/> Homeless Check	-	-	-	37	20	20	-
<input type="checkbox"/> Homicide	-	-	1	3	-	-	-
<input type="checkbox"/> Hunting Accident	-	-	-	-	-	-	-
<input type="checkbox"/> Hunting Offenses	-	-	4	4	-	-	-
<input type="checkbox"/> Indecency	-	-	-	3	8	8	-
<input type="checkbox"/> Industrial Accidents	1	1	-	-	-	(1)	-100%
<input type="checkbox"/> Intoxicated Persons	143	154	150	186	167	24	17%
<input type="checkbox"/> Juvenile Offenses	19	21	24	23	26	7	37%
<input type="checkbox"/> Juvenile Curfew Violations	1	-	1	-	-	(1)	-100%
<input type="checkbox"/> Kidnapping	1	1	1	1	1	-	0%
<input type="checkbox"/> Liquor Law Viol	12	10	18	24	16	4	33%
<input type="checkbox"/> Littering	-	-	-	3	5	5	-
<input type="checkbox"/> Lost Property	309	262	273	293	324	15	5%
<input type="checkbox"/> Lost Property - Returned	-	-	-	-	-	-	-
<input type="checkbox"/> Med Examiner - Receive / Release	-	-	-	54	164	164	-
<input type="checkbox"/> Mentally Disturbed Persons	28	30	39	15	57	29	104%
<input type="checkbox"/> Message Delivery	40	43	41	20	38	(2)	-5%
<input type="checkbox"/> Missing Persons	135	172	161	133	107	(28)	-21%
<input type="checkbox"/> Misuse of 911	-	-	-	2	7	7	-
<input type="checkbox"/> Motor Vehicle Stop	8,070	8,219	7,119	8,217	7,045	(1,025)	-13%
<input type="checkbox"/> MV Accident - PD	1,655	1,467	1,637	1,549	1,402	(253)	-15%
<input type="checkbox"/> MV Accident - PI	298	291	269	253	188	(110)	-37%
<input type="checkbox"/> MV Accident Cruiser - PD	18	15	16	12	11	(7)	-39%
<input type="checkbox"/> MV Accident Cruiser - PI	4	-	1	-	-	(4)	-100%

Table 10
CALLS FOR SERVICE 2005 - 2009

Call Reason	2005	2006	2007	2008	2009	Change - Number	Change - Percent
☐ MV Accident Fatal	2	3	2	1	4	2	100%
☐ MV Accident Hit and Run	261	245	276	237	191	(70)	-27%
☐ Negotiating Worthless Inst	3	2	-	19	20	17	567%
☐ Neighborhood Watch	-	-	-	-	329	329	-
☐ Parking Enforcement Viol	-	-	-	149	1,019	1,019	-
☐ Parking Violations	799	640	385	297	316	(483)	-60%
☐ Pedestrian Check	286	312	476	522	379	93	33%
☐ Phone Harassment	297	314	317	294	221	(76)	-26%
☐ Prisoner Transport	9	13	16	11	11	2	22%
☐ Probation Check / Violation	-	-	-	2	38	38	-
☐ Prostitution	4	-	-	3	3	(1)	-25%
☐ Protection Order	-	-	-	190	69	69	-
☐ Protection Order Violation	-	-	-	105	61	61	-
☐ Provide Information	702	603	396	509	265	(437)	-62%
☐ Provide Service General	-	-	-	-	1	1	-
☐ Prowler	29	18	29	15	10	(19)	-66%
☐ Recovered Property	104	89	82	114	132	28	27%
☐ Recovered Stolen MV	19	22	9	15	6	(13)	-68%
☐ Recovered Stolen Property	12	5	8	10	2	(10)	-83%
☐ Relay Other	39	52	29	24	65	26	67%
☐ Relay Paperwork	877	870	829	697	748	(129)	-15%
☐ Relay Person	267	195	142	150	169	(98)	-37%
☐ Request for Information	-	-	-	-	-	-	-
☐ Rescue Drowning	2	-	-	-	-	(2)	-100%
☐ Rescue Medical	3,023	3,243	3,338	3,170	3,250	227	8%
☐ Rescue MV Accident	110	85	56	51	46	(64)	-58%
☐ Rescue Overdose	79	59	74	62	78	(1)	-1%
☐ Robbery Armed	2	6	2	2	5	3	150%

Table 10
CALLS FOR SERVICE 2005 - 2009

Call Reason	2005	2006	2007	2008	2009	Change - Number	Change - Percent
<input type="checkbox"/> Robbery Strong Arm	2	3	6	3	9	7	350%
<input type="checkbox"/> Sale of Multiple Firearms	-	-	-	-	5	5	-
<input type="checkbox"/> Security Detail - Rally / Protest	-	-	-	2	87	87	-
<input type="checkbox"/> Serve Juvenile Petition	5	-	2	1	1	(4)	-80%
<input type="checkbox"/> Serve Restraining Oder	326	388	353	360	380	54	17%
<input type="checkbox"/> Serve Summons	177	120	125	109	134	(43)	-24%
<input type="checkbox"/> Serve Subpoena	1,102	759	597	538	448	(654)	-59%
<input type="checkbox"/> Serve Warrant	5	2	20	9	10	5	100%
<input type="checkbox"/> Sex Offender - Check	-	-	-	32	74	74	-
<input type="checkbox"/> Sex Offender Notification	-	-	-	-	-	-	-
<input type="checkbox"/> Sex Offense - Violation	-	-	-	2	34	34	-
<input type="checkbox"/> Sex Offenses - GSA	24	26	20	20	22	(2)	-8%
<input type="checkbox"/> Sex Offenses - Sex Abuse Minor	10	12	7	13	-	(10)	-100%
<input type="checkbox"/> Sex Offenses - Unlawful Contact	7	9	10	20	1	(6)	-86%
<input type="checkbox"/> Special Security Patrol	-	-	-	-	2	2	-
<input type="checkbox"/> Standby, Backup, On call	-	-	-	-	-	-	-
<input type="checkbox"/> Stolen Property - Buying	-	-	-	-	-	-	-
<input type="checkbox"/> Stolen Property - Pos/Rec	-	-	1	3	1	1	-
<input type="checkbox"/> Street Light Problem	29	44	17	8	5	(24)	-83%
<input type="checkbox"/> Suicide	5	3	-	-	2	(3)	-60%
<input type="checkbox"/> Suicide Attempted	21	42	38	37	46	25	119%
<input type="checkbox"/> Suspicious Activity	446	459	557	545	516	70	16%
<input type="checkbox"/> Suspicious Activity - General	283	374	370	366	392	109	39%
<input type="checkbox"/> Suspicious Activity - Vehicle	518	205	433	421	397	(121)	-23%
<input type="checkbox"/> Suspicious item /package/ mail	-	-	-	3	25	25	-
<input type="checkbox"/> Terrorizing	79	88	87	87	151	72	91%
<input type="checkbox"/> Terrorizing - Verbal	161	146	160	135	7	(154)	-96%
<input type="checkbox"/> Terrorizing - Weapons	37	42	37	24	19	(18)	-49%

Call Reason	2005	2006	2007	2008	2009	Change - Number	Change - Percent
❑ Theft by Deception	25	20	17	38	1	(24)	-96%
❑ Theft of MV	48	76	52	41	43	(5)	-10%
❑ Theft Offense	749	804	822	686	626	(123)	-16%
❑ Theft Shoplifting	217	194	195	247	232	15	7%
❑ Traffic Complaints	1,188	1,130	1,293	1,156	1,377	189	16%
❑ Traffic Control	134	90	137	102	97	(37)	-28%
❑ Traffic Hazard	470	411	341	356	292	(178)	-38%
❑ Traffic Light Problems	168	179	111	89	74	(94)	-56%
❑ Traffic Patrol Post	66	21	46	68	514	448	679%
❑ Training / Exercise	-	-	-	-	12	12	-
❑ Vehicle Pursuit	6	4	7	1	2	(4)	-67%
❑ Violation Conditions/ Release	-	-	-	14	44	44	-
❑ Visual Check	-	-	-	-	12	12	-
❑ Wanted Person	-	-	-	1	15	15	-
❑ Warning - General	-	-	-	-	2	2	-
❑ Weapons Violations	3	2	3	5	7	4	133%
TOTAL CALLS	45,583	47,481	41,411	44,234	45,938	355	1%

<u>Service</u>	<u>Number</u>	<u>Percent of Total</u>
❑ Motor Vehicle Stops	7,045	15.3%
❑ Building Checks	4,399	9.6%
❑ Rescue Medical	3,250	7.1%
❑ Traffic Complaints, Control, Posts, Hazards	2,354	5.1%
❑ Disturbances (Response)	2,241	4.9%
❑ Animal Complaints	1,935	4.2%
❑ Motor Vehicle Accidents	1,796	3.9%
❑ Assist Citizen/ Attempt to Locate Missing Persons	2,256	4.9%
❑ Foot Patrol	1,529	3.3%
❑ Suspicious Activity	<u>1,330</u>	<u>2.9%</u>
Totals	28,135	60.1%

The workload profile also suggests changes in the APD service delivery model – conscious proactive choices, demand reactive, or a mix. Newer, contemporary activities include Airport and Check Welfare Mental Health; traditional services/activities which have elevated in numbers that far exceed overall change include: Assist Citizens (91% in five years, 32% in 2009); foot patrols (249% in five years, 22% in 2009); Traffic Control Post (679% in five years; 655% in 2009).

Particularly compelling, as well, is erosion in a series of services to the community, measured by material decline in number of recorded activities: Community Interaction (72%, including 55% in 2009); Motor Vehicle Stops (13%, 14% in 2009); Subpoena Service (59%).

SECTION 10: RESOURCES - FUNDING

Expenditures for the four-year period, 2006-2009 and the appropriations for 2010 are displayed in Table 11. Expenditures will have increased by the end of the 2010 fiscal year by \$591,000, 18%, annual averages of \$148,000, 4.5%. Eighty-six percent (86%) of the entire increase has been/will be for wages and benefits.

APD resources are supplemented by grants – federal and state. Table 12 presents awards for the 2007 – 2011 period.

Table 11
RESOURCES - EXPENDITURES AND APPROPRIATIONS
2006-2010 (1,000s)

Description	2006	2007	2008	2009	2010 ⁽¹⁾	Change - Amount	Change - Percent
☐ Wages and Benefits							
- Salaries	\$ 1,949	\$ 2,008	\$ 2,111	\$ 2,210	\$ 2,373	\$ 424	22%
- Overtime	245	250	247	237	183	(62)	-25%
- Police Extras	3	4	1.5	0.3	3	--	0%
- Health Benefits	565	591	620	625	695	130	23%
- Contract Benefits	65	65	63	63	61	(4)	-6%
- Fringe Benefits	<u>107</u>	<u>123</u>	<u>120</u>	<u>125</u>	<u>131</u>	<u>24</u>	<u>22%</u>
TOTAL	\$ 2,934	\$ 3,041	\$ 3,162	\$ 3,261	\$ 3,445	\$ 511	17%
☐ Contractual							
- Printing	\$ 0.1	\$ 1.5	\$ 1	\$ 1	\$ 1.5	\$ 1	1400%
- Advertising	0.7	0.2	0.5	0.5	1	0	43%
- Postage	0.7	1	0.6	1	1	0	43%
- Telephone	23	23	29	24	27	4	17%
- Travel/Conferences	3	0.5	1	1.5	2	(1)	33%
- Training	20	28	27	22	29	9	45%
- Freight and Cartage	0.3	0.5	0.3	0.3	0.5	0	67%
- Subscriptions/Books	1	1	1	1	1	--	0%
- Medical/Surgical	2	3	2	2	3	1	50%
- Vehicle Repair/Maintenance	21	32	38	13	35	14	67%
- Equipment Repair/Maintenance	27	29	31	38	45	18	67%
- Building Repair/Maintenance	1	1.6	0.5	1.5	1.5	1	50%
- Criminal Investigation	3	3	3	3	3	--	0%
- Special/Other	<u>28</u>	<u>32</u>	<u>66</u>	<u>77</u>	<u>56</u>	<u>28</u>	<u>100%</u>
TOTAL	\$ 130	\$ 157	\$ 201	\$ 186	\$ 205	\$ 75	58%

Table 11
RESOURCES - EXPENDITURES AND APPROPRIATIONS
 2006-2010 (1,000s)

Description	2006	2007	2008	2009	2010 ⁽¹⁾	Change - Amount	Change - Percent
☐ Supplies							
- Office Supplies	\$ 4	\$ 5	\$ 5	\$ 2.5	\$ 3	\$ (1)	-25%
- Printing and Reproduction	5	4	1.6	4	4	(1)	-20%
- Gasoline and Oil	64	82	91	135	74	10	16%
- Tires and Tubes	6	6	6	7	8	2	33%
- Wearing Apparel	12	13	13	11	12	--	0%
- Public Safety Supplies	8	10	16	15	11	3	38%
- Agriculture, Botany and Animal	--	0.3	2	2	1.6	2	--
- Educational Supplies	--	0.8	0.1	1	1	1	--
TOTAL	\$ 98	\$ 121	\$ 134	\$ 178	\$ 114	\$ 16	16%
☐ Fixed Charges							
- Equipment	\$ 2	\$ 1.5	\$ 2	\$ --	\$ 2	\$ --	0%
- Dues/Memberships	1	0.7	1	1	1	--	0%
TOTAL	\$ 2.6	\$ 2	\$ 3	\$ 1	\$ 3	\$ 0	15%
☐ Capital Outlay							
- Office Equipment	\$ 8	\$ 11	\$ 5	\$ 7	\$ 5	\$ (3)	-38%
- Computer Hardware	--	--	5	--	--	--	--
- MV Equipment	73	70	84	77	76	3	4%
- Public Safety Equipment	11	10	29	14	12	1	9%
TOTAL	\$ 91	\$ 92	\$ 129	\$ 97	\$ 93	\$ 2	2%
☐ Transfers Out							
	\$ 14	\$ 14.5	\$ --	\$ 104	\$ --	\$ (14)	-100%
TOTAL APPROPRIATIONS	\$3,269	\$3,427	\$3,623	\$3,826	\$3,860	\$ 591	18%

⁽¹⁾ Adopted

Table 12
APD GRANT FUNDING 2007-2011

Amount	Source	Purpose
2011		
\$ 5,000	State Bureau of Highway Safety	OUI Enforcement
2,400	State Bureau of Highway Safety	Seat Belt Safety Seat Enforcement
2,400	State Bureau of Highway Safety	High Visibility Holiday Enforcement Seat Belt and OUI
<u>Unknown</u>	Stimulus funds	Replace a 2000, 2001 Expeditions and a 2000 Crown Vic
\$ 9,800		
2010		
\$ 6,080	State Bureau of Highway Safety	OUI Enforcement
5,000	State Bureau of Highway Safety	Speed Enforcement
<u>5,000</u>	State Bureau of Highway Safety	Seat Belt Safety Seat Enforcement
\$16,080		
2009		
\$50,000	Department of Homeland Security	Purchase additional reverse 911 notification modules and two traffic message boards.
13,161	Justice Assistance Grant	Crime Scene Forensic Mapping Equipment, discrete surveillance earpiece units, flat screen LCD HDtv, and Superglue fuming tank
\$ 5,000	State Bureau of Highway Safety	OUI Enforcement
5,000	State Bureau of Highway Safety	Speed Enforcement
2,000	State Bureau of Highway Safety	Seat Belt Safety Seat Enforcement
<u>3,300</u>	Bulletproof vest partnership	Duty vests
\$84,407		
2008		
\$50,000	Department of Homeland Security	Purchase additional reverse 911 notification modules and two traffic message boards
13,161	Justice Assistance Grant	Purchase and train two K9s, one for explosive detection and one for narcotics
5,000	State Bureau of Highway Safety	OUI Enforcement
2,000	State Bureau of Highway Safety	Seat Belt Safety Seat Enforcement
<u>3,300</u>	Bulletproof vest partnership	Duty vests
\$73,461		

Table 12		
APD GRANT FUNDING 2007-2011		
Amount	Source	Purpose
2007		
\$81,103	Department of Homeland Security	Purchase a computer firewall, tactical equipment, radio equipment, barricades, and portable lighting
Unknown	JAG	4WD utility vehicle, video and audio recording equipment
5,000	State Bureau of Highway Safety	OUI Enforcement
5,000	State Bureau of Highway Safety	Scorpion spike mats
2,000	State Bureau of Highway Safety	Seat Belt Safety Seat Enforcement
1,475	Maine Municipal Association	Traffic vests and movable staircase for evidence room
\$94,578		

For the 2007-2009 period, funding averaged just over \$84,000 annually. For 2010 and this year, 2011, awards have dwindled to just less than \$26,000, combined. The most substantial awards were from the Department of Homeland Security, for equipment. The preponderance of remaining grants are small ones, \$2,000 - \$5,000, for traffic enforcement.

The city bears the cost of a series of essential support services, IT, vehicle and building maintenance, legal, human resources, and capital costs including vehicle purchases.

The city budget is in decline, having been reduced 39% since 2007 (2007 adopted, 2011 estimated). The near term future outlook promises further decline. Guiding principles include austerity, maintenance of core services, and only modest investments in infrastructure and economic development.

SECTION 11: RESOURCES - STAFF

Authorized staffing for 2011 totals 56.5:

<input type="checkbox"/>	Chief	1
<input type="checkbox"/>	Deputy Chief	1
<input type="checkbox"/>	Lieutenants	4
<input type="checkbox"/>	Sergeants	6
<input type="checkbox"/>	Patrol Officers	29
<input type="checkbox"/>	Dispatchers	8
<input type="checkbox"/>	Parking Enforcement Officers	3
<input type="checkbox"/>	Secretaries	2
<input type="checkbox"/>	Clerks	1.5
<input type="checkbox"/>	Animal Control Officers	<u>1</u>
	TOTAL	56.5

There are three Reserve Police Officers. The APD does not use volunteers.

Authorized staffing has changed little in recent years. The 2007 budget authorized 30 patrol officers. A half-time clerk position was added several years ago. (Table 13.)

Table 13					
STAFFING TRENDS 2007-2011					
Title	2007	2008	2009	2010	2011
☐ Sworn					
- Chief	1	1	1	1	1
- Deputy Chief	1	1	1	1	1
- Lieutenant	4	4	4	4	4
- Sergeant	6	6	6	6	6
- Patrol Officer	<u>30</u>	<u>29</u>	<u>29</u>	<u>29</u>	<u>29</u>
Sub-Total	42	41	41	41	41
☐ Non-Sworn					
- Dispatchers	8	8	8	8	8
- Parking Enforcement Officer	3	3	3	3	3
- Secretary	2	2	2	2	2
- Clerk	1	1	1	1.5	1.5
- Animal Control Officer	<u>1</u>	<u>1</u>	<u>1</u>	<u>1</u>	<u>1</u>
Sub-Total	15	15	15	15.5	15.5
TOTAL	57.0	56.0	56.0	56.5	56.5
Reserves	3	3	3	3	3

Turnover is increasing. Three Patrol officers resigned in 2007; one patrol officer and one sergeant in 2008. Six employees separated in 2009, one civilian and five sworn officers. This year, 2010, the total is eight thus far:

□ Patrol Officers	3
□ Dispatchers	3
□ Animal Control Officer	1
□ Clerk	1

Five separations were resignations, three retirements. Four of the eight joined other law enforcement agencies. Fifteen percent (15%) turnover is high, especially now when jobs are scarce. The Chief retired in December 2010.

SECTION 12: EDUCATION, TRAINING, AND EXPERIENCE

The educational level of the sworn workforce is displayed in Table 14. One member of the agency, a patrol officer, has a Master’s degree. Just over one-quarter of the workforce have earned a BA or BS, the same number who have AAs. Twelve workforce members, of all ranks, are working toward a more advanced educational status.

Developing and maintaining competencies in policing is an unending process, achieved largely through training and applied learning. Number of hours of training officers receive and relevance of those hours are the beginning metrics. APD training records cannot supply a measure of average number of training hours for sworn officers. Recognizing this shortcoming we offer the following estimate.

<u>Rank</u>	<u>Number in Count</u>	<u>2007</u>	<u>2008</u>	<u>2009</u>
□ Lieutenants	4	129	166	148
□ Sergeants	6	55	83	134
□ Detectives	4	98	119	155
□ Officers	19	37	37	54

(Margin of Error: Number of records without hours designations: 2007 - 22%; 2008 - 16%; 2009 - 9%; three-year average - 15%.)

Table 14

EDUCATION PROFILE

Rank	Education Level				Total
	HS Diploma	Assoc. Degree	BA/BS	Masters	
<input type="checkbox"/> Chief	--	1	--	--	1
<input type="checkbox"/> Deputy Chief	--	--	1	--	1
<input type="checkbox"/> Lieutenant	--	2	2	--	4
<input type="checkbox"/> Sergeant	4	2	--	--	6
<input type="checkbox"/> Detective	1	1	2	--	4
<input type="checkbox"/> Officer	<u>11</u>	<u>4</u>	<u>5</u>	<u>1</u>	<u>21</u>
TOTAL	16	10	10	1	37
Percent of Total	43%	27%	27%	3%	

Table 15

EXPERIENCE PROFILE

Rank	Years of Service						Total
	Less than 2	3 - 5	6 - 10	11 - 15	16 - 20	20+	
<input type="checkbox"/> Chief	--	--	--	--	--	1	1
<input type="checkbox"/> Deputy Chief	--	--	--	--	--	1	1
<input type="checkbox"/> Lieutenant	--	--	--	1	1	2	4
<input type="checkbox"/> Sergeant	--	--	--	3	3	--	6
<input type="checkbox"/> Detective	--	1	1	2	--	--	4
<input type="checkbox"/> Officer	<u>4</u>	<u>8</u>	<u>3</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>21</u>
TOTAL	4	9	4	7	6	7	37
Percent of Total	11%	24%	11%	19%	16%	19%	

The experience levels of 37 sworn members of the APD is summarized in Table 15. Experience correlates with rank, supervisors and executives having longest tenure. Most notable in the APD profile is the clustering of officers in the less than two and the three to five years categories. Twelve (12) of 21 officers, first responders, almost 60% have limited to moderate experience. Three vacancies have just been filled, bringing the “limited-to-moderate” experience cadre beyond (above) the 60% level.

SECTION 13: OBSERVATIONS AND IMPLICATIONS

The data and information presented thus far have significance for evaluation of the APD performance, managing the present most cost-effectively, and planning for the future. The most salient are highlighted next.

- **The New Normal.** It has been customary for the IACP to initiate this portion of our reports with examination of a jurisdiction crime situation, there being no more important goal for police. We are departing from this convention because of the dominating implications of the fiscal situation in Augusta and for the APD.

New Normal is a term/euphemism that has gained currency across municipal governments to capture the reality that unprecedented service, staff, and infrastructure cuts must be made now and that the immediate future promises little, if any, turnaround. The APD has already flat-lined in staffing. Even remaining at its 56.5 position level, and continuing the current business model, institutionalized pension and healthcare costs present the city with rising costs. Appreciation for the fiscal reality must suffuse APD decision-making going forward. It has been foremost in framing this report.

- **Crime Conditions and Public Protection.** We are projecting that the APD will record about 1,274 serious offenses in 2010, about 25 a week. This factors to a crime rate of 691 per 10,000 population or a victimization rate of one of every 14 residents (although not all victims are residents). Considering that three-quarters (75%) of all serious crime is theft rather than violent crime, there does not seem to be a basis for anything more than normal concern. Burglaries are increasing, which is “treatable” through best-practice crime analysis and problem solving, as is theft. Once the diagnosis is complete, focused collaboration with citizens and educational campaigns may be an answer.

Part 2 Offenses could decline slightly for 2010. The Part 2 data sets out several considerations that call for APD action. Vandalism is the most

commonly recorded Part 2 offense, 21% of the total. The APD is urged to find patterns in this offense subset and take remedial action. Other (simple) assaults account for 20% of all Part 2s. Assaults are often “gateway” actions that lead to more serious crimes, aggravated assault, or worse. More resistant to corrective interventions, analysis of these crimes may reveal potential for minimizing future incidence.

The number of recorded Drug Abuse Violations is holding steady. These events, often arrests, result mainly from self-initiated proactive police work. This is a positive. The same cannot be said for DUIs, which dropped measurably in 2010.

Finally, we see nothing in the crime profile that suggests need for field manpower augmentation.

- **Services Delivery.** The APD prides itself on responsiveness and citizen service. The Workload Profile demonstrates a seemingly limitless array of service activity. In this regard, the department is serving its citizens well – and cost-effectively. However, as the Patrol Staffing and Deployment analysis which follows reveals, APD first responders have exhausted their capacity. Indeed, absent design and introduction of a new service model, staffing augmentation is called for. This is not recommended by the IACP. Accepting that new normal service models must be established across agencies in city government, the APD must reexamine and reconsider (1) what they do – the portfolio of services offered and (2) how they do it -- “business practices.” The APD should, or must, depart from the full-service model that has been established. It must cut the current service level.
- **Experience and Training.** The APD has an experienced command cadre, fully capable of providing the leadership the agency requires to manage in the cost-challenged environment that now confronts the city. This report calls for design of a new business model. To build it requires dozens of decisions and many hard choices. Our interactions leave us confident that the APD has the talent that is required to complete the work successfully.
- **Demographics.** Population is a primary correlate of service demand. Rapidly increasing population increases service demands, for example. Population is not currently a factor that needs to be considered for staffing decisions for the immediate future.

Knowledge of population subsets is important for macro analysis of current and future staffing. Certain groups, such as teens and the elderly

can consume police services disproportionately. (Gangs and runaways for youth and medical assists for the elderly are examples.) Current subset data were not available.

SECTION 14: THE BOTTOM LINE

The men and women of the APD produce and process a truly impressive volume of work. Their commitment to serve the community is easily noted. Functioning in a fixed staff environment, for at least the past five years, adjustments have been in resource allocation to field activity priorities. Internally, functional erosion has occurred, the fiscally driven elimination of the Juvenile Officer/Crime Prevention position being of most concern to us.

The five-year absence of resource augmentation has left an organization devoid of robust essentials, such critical functions and practices such as crime analysis, research, intelligence-led policing, problem-solving policing, leadership training and succession preparation. The department is not preparing for the revolutionary impact that social media technology and practices are having society in general and policing in particular.

Some of these are present only as collateral, secondary considerations. Realistically, without staff augmentation, some of the opportunities that have been lost cannot be retaken in the foreseeable. Some can.

The over-arching recommendation of this study is that the APD, in collaboration with the city manager, governing body, and community stakeholders fashion a policing model that recognizes the capacity issues that the city of Augusta faces – the “new normal.” At this juncture it is prudent to:

- ❑ Identify services and activities (external and internal) that can be eliminated, without jeopardizing citizen safety and protection
- ❑ Identify and implement cost efficiencies in APD services and activities, across-the-board
- ❑ Ensure that innovations and best practices characterize all function and activities – administrative, support, as well as the operational
- ❑ Allocate recovered resources to priority essentials.

This report presents a range of suggestions to consider.

CHAPTER II. MISSION, GOALS AND OBJECTIVES

The APD's mission is:

To establish and maintain a partnership with government agencies, businesses, and citizens of the community to provide a safe environment in which quality of life may be improved through the delivery of competent, fair, and impartial police services.

This mission statement is set forth in the city budget document. It is expressed in the APD recruiting brochure. It is not documented in the department policy manual, displayed in or around the headquarters building, including lobby literature, nor does it appear on the department website. The APD has not prepared a strategic plan, often a framework for highlighting the mission and detailing goals and objectives to achieve the mission.

SECTION 1: GOALS AND OBJECTIVES

Goals and objectives are stated in the annual budget - and nowhere else it appears. APD goals and objectives for 2011 are:

- ❑ Update Department Standard Operating Procedures to comply with Legislative Mandates as well as current police practice.
- ❑ Obtain State Certification for the Department's Special Response Team as well as each team member.
- ❑ Ongoing training of personnel in the varied aspects of law enforcement or other disciplines that will enable each employee to provide the public with the most effective response to the public's need for police services.
- ❑ Pursue available grant funding throughout the fiscal year from Federal, State or other sources for police programs, equipment and activities that will benefit the department and City.
- ❑ Continue increased traffic enforcement and public education throughout the City to enhance drivers' compliance with traffic regulations. This includes the placement of the radar trailer, as well as traffic counters, speed monitors and mobile messaging boards. Our department will be deploying a low lighted, unmarked patrol vehicle to enhance traffic enforcement in high complaint and heavy traffic flow areas. This will

greatly enhance the department's ability to bring voluntary compliance to these areas.

Goals for 2010 were identical, with an additional pledge to deploy an additional traffic enforcement resource. The 2009 version was identical with the presence of a recruit goal. The traffic goal was not included in 2008. The 2007 version included a community policing goal (to implement COP). It did not include the traffic goal.

We did not find goals or objectives at the unit level.

SECTION 2: METRICS

The APD does not produce goal and objective-specific measurements of achievement to enable internal evaluation or for external reporting. It does produce statements of accomplishments to include in the formal budget submissions. Examples:

□ 2011 Budget

- Crime clearance - the department cleared 51.8% of serious crimes reported. The national average is 45.1%.
- Department K-9 Teams remain certified in Explosives Detection, Narcotics Detection, and Patrol Techniques.
- Solved all recent bank robberies to include one in Hallowell and two in Gardener.
- Secured funding through Stimulus Grant for undercover video and audio surveillance equipment. Equipment will replace dated and inoperable equipment which will be compatible to equipment used by area agencies for greater interoperability.
- Sent officers and detectives to Alabama for training in evidence collection, involving chemical and biohazard crime scenes including scenes that involve terrorism . . . All training in Alabama is at no cost to the City or taxpayers.

SECTION 3: PERFORMANCE STANDARDS

Goals and objectives should be formal, documented, and labeled (categorized). Rules and regulations and general and special orders convey expected and prohibited

behaviors and, as such, can be viewed as a class of goals and objectives. Performance standards, a third class, tend to be culturally transmitted, through words and actions of supervisors, trainers and peers. Less formally defined/ documented than other types of goals and objectives, performance standards are powerful determinants of police behavior. (We distinguish here between performance standards and performance evaluation, the mandated annual activity. APD performance evaluation practices are treated later in the report.)

Our workforce survey attempt to capture dominant APD performance standards was not as successful as hoped. Still, it produced value and insight.

Four lieutenants completed the open-ended question: "Starting with the highest priority, list the standards to which you believe you are held." Two listed integrity and loyalty. Fairness, knowledge, professionalism and service to the community were prioritized.

Among the standards listed by sergeants (five responses) professionalism was the only multiple response item (two sergeants). Job knowledge was mentioned as was supervisory effectiveness, and attitude toward coworkers and the public (one reference each).

Among officers (seven respondents), five highlighted traffic-stops and tickets. Productivity/performance, professionalism, and job knowledge were prioritized (one reference each).

One dispatcher selected helpful/kindness/doing my job. A second chose "no idea."

Viewed collectively, the array of responses is quite dispersed (as opposed to patterned) but principled overall, particularly those of the command cadre.

SECTION 4: EVALUATION

The limited size of the APD workforce, its concentration in one facility, and the presence of a long-serving leadership cadre contribute to convenient interpersonal exchange and intra- and inter-rank accessibility. It is not surprising therefore that the APD is characterized by an informal and organic approach to selecting, conveying and evaluating achievement of goals and objectives. This is not prudent in our view, particularly considering the fiscal retrenchment that has set in and is expected to continue. The APD and the city will benefit in many ways by developing and exploiting the potential of a sound structure of goals, objectives, and performance metrics. Done properly, the endeavor could produce a new business model for the APD powered by a retreat from the current full-service model.

When questioned about APD goals and objectives in the workforce survey, 6.5% rated their understanding unsatisfactory, 45.2% neither satisfactory nor unsatisfactory, and 48.4% excellent. The “excellent” choices correlate positively with ascending rank. A common comment among those who are struggling with their understanding is that “different supervisors on different shifts have different goals, expectations, and rules.” Understanding of unit goals is reported at significantly more positively, across ranks.

Almost half of workforce survey respondents are not sure of APD goals to be pursued (the 45.2%). Equally concerning is the feeble response to the “Prioritize Performance Standards” questions. Respondents clearly struggled with this “test.” There is, simply, inadequate patterning among and within classes of respondents.

We find the goals and objectives submitted for budget purposes revealing. The APD surely has a service orientation, in practice. The budget structure, alternatively, includes only one outcome – externally-oriented selection – the traffic enforcement goal. All of the others are inward-focused capacity building choices. Conversion to an outcome-effectiveness emphasis is advised. This would yield benefits in meaningful performance measurement and accountability.

Goals are ultimate ends or outcomes that police agencies strive to achieve. Objectives define what an agency is supposed to or intends to achieve goals (not the processes undertaken to accomplish them). To prevent crime, to apprehend offenders, to clear crime, to recover property, to locate missing persons, to minimize use of force, to mediate social conflict, to satisfy victims of crime, and to protect Constitutional guarantees are examples of ultimate ends that characterize the police function. To patrol, investigate, dispatch, staff, and train are not ultimate ends. These are activities (processes) taken to achieve ends. Although core goals are not immutable, they do not change substantially over time.

Objectives are direct derivatives of goals, with measurable quantitative dimensions, ideally defined in time and amount. Objectives allow management functions to be directed toward their achievement. They are prerequisite to managing by objectives, a process repackaged in recent years as Compstat. Objectives should exist for a department as a whole, and for each division, section, and unit within it. Objectives must be set for personnel, also. Logical relationships should exist between and among the levels and network of goals and objectives. Division objectives should connect to, and integrate with, department objectives. In some instances they may be identical. They should reinforce, and never conflict.

Objectives must be defined with sufficient precision to yield valid measurement. This requires that they be written. It is essential to measure the degree to which objectives are achieved (effectiveness) and the cost incurred to achieve them (productivity).

Without valid effectiveness and productivity information, it is difficult to assess the performance of a police agency insightfully or to conduct many aspects of the management process rationally and successfully, including making resource allocation decisions.

The current APD/city goals, objectives, measurement situation does not sufficiently satisfy the technical criteria set forth above. We rarely encounter a jurisdiction/department that does. The APD goals and objectives structure is internally rather than community-directed. Critical metrics of desirable police outcomes are absent, such as citizen satisfaction levels and fear indexes. Detailed victimization goals and measures are omitted. Workplace satisfaction, for sworn and civilian workers, is untreated. Unit level objectives do not exist.

This host of best practice shortfalls notwithstanding, the mission, goals, and objectives examination confirmed an observation of surpassing significance. The APD strives for and achieves professionalism in its approach to community service. Responses to the standards question were highly varied indicating absence of dominant, precisely communicated behavioral and achievement guidelines. At the same time the collection of responses is notable for clustering of important aspirational values: integrity, loyalty, professionalism (from sergeant and Lieutenant); efficiency and productivity references from patrol officers.

SECTION 5: RECOMMENDATIONS

The following actions should be taken to strengthen objectives setting and measurement practices:

- 1. Create a functional structure of goals and objectives.**

Include objectives for the department and each division, section and unit. Objectives should specify the outcomes that the department, division, section, and/or unit want to achieve. Personnel from all major units in the department should be involved in the development process.

- 2. Ensure that members of the governing body and the community participate in objectives setting.**

- 3. Ensure that the objectives are formally sanctioned by the municipal government.**

- 4. Ensure that objectives are documented and distributed to all personnel.**

5. **Develop one or more measures of achievement for each objective.**
6. **Use objectives and measurements for planning, decision-making, and performance evaluation at all levels of the APD, as often as is practical.**

A monthly/quarterly progress reporting system is advisable.

7. **Train commanders and supervisors to develop and use objectives and measures.**
8. **Review objectives annually, or more frequently, and modify them as conditions dictate.**
9. **Extend the system, when it is technically adequate, to comprehend personnel objectives.**

Objectives for individual personnel must be congruent with and contribute to achievement of unit objectives that, in turn, must be congruent with and contribute to agency objectives.

10. **Ensure that members of the governing body review achievements of effectiveness and productivity annually, prior to approval of the municipal budget.**
11. **Employ knowledge and achievement of objectives, selectively, in a redesigned performance evaluation process, especially for command personnel and unit managers.**

CHAPTER III. POLICIES AND PROCEDURES

Chapter One of the APD policy manual, Introduction, Section 4, Definitions, defines “Manual” and “Orders.” Section 6, Orders, details the nature and purpose of four types: general; special; personnel; and supervisory. Accountability for the general and personnel resides with the Chief.

SECTION 1: STANDARD OPERATING PROCEDURES

The APD is governed/guided by 498 pages of Standard Operating Procedures. Currently housed and available to all from RMS (Records Management System), the set we received (in CD format) covers 65 policy and procedure areas and is structured as follows:

- 01-01 to 01-29 (no 01-09, 01-20, 01-22)
- 03-30 to 03-43 (no 03-32)
- 04-01 to 04-02; 04-44 to 04-47
- 05-01, 05-48 to 05-51
- 06-01 and 06-02
- 07-01 and 07-02
- 08-01
- 09-01 to 09-03
- 10-01
- Chapter Four
- Chapter One
- Chapter Three
- Chapter Two
- MDT

SOPs appear “serially.” An ongoing scheme to group related subject matters is not evident. Example: Hiring Process for New Officers is followed by Investigations of Computers and Internet Crimes. Example: Minted Coin Policy is followed by Domestic Violence.

New policies and revisions/updates to existing policies are drafted primarily by the Deputy Chief, with support of staff members with subject matter expertise. The chief is the final authority and signatory.

Sources for policy are several, the Maine Criminal Justice Academy being central. The MCJA publishes Maine Chiefs Mandatory Model Policies, 15 of them. Five additional models are available. The policies of eight agencies are available for viewing and download, the APD being among them.

Review of drafts of new policies or revisions and/or participation by a police legal officer, district attorney, attorney general occur situationally. Proposed policies are posted in the department for comment for 10 days.

SECTION 2: LEARNING PRACTICES

First exposure to policies occurs at the MCJA recruit academy where the afore-referenced Model Mandatory policies are woven into the curriculum. FTOs are expected to teach/review policy with new officers. The Field Training Checklist, essentially an instructional guide, directs FTOs to cover 11 important SOPs. Trainees are directed to review the SOP Manual. The Cycle Observation report requires FTOs to rate trainee development and performance, 29 SKAs, including “knowledge of departmental policies.”

The early career emphasis on structured policy learning is not formally reinforced, leaving much responsibility to the individual officer. The APD Employee Performance Evaluation system requires supervisor’s to rate whether an officer “Follows Rules and Regulations” as a dimension of “Work Habits.” Similarly supervisors are assessed for “Adherence to Policies and Procedures.” Promotional tests, we are informed, are not built heavily on SOP material.

SECTION 3: ACCREDITATION

The department has not pursued national accreditation from the Commission on Accreditation for Law Enforcement (CALEA).

SECTION 4: OBSERVATIONS AND IMPLICATIONS

User satisfaction with the utility of policies and procedures is broadly distributed, but, overall, not sufficiently positive for an operational condition with the gravity of this one. To the workforce survey question “For guidance in situations in which you must take action and/or make decisions, do you consider written policies and procedures to be unsatisfactory – excellent,” these results were received:

- Unsatisfactory 8 (25.8%)

- ❑ Neither Unsatisfactory nor Excellent 9 (29.0%)
- ❑ Excellent 14 (45.1%)

Half of the department is unable (has chosen not) to regard the body of legal and behavioral guidelines sufficiently suitable for professional needs. This is not surprising to us. We suspect the weaknesses lie in the cumbersome nature of the SOPs and passive retaining and evaluation practices.

Law enforcement personnel are obligated, everywhere, to master an almost unmanageable volume of policies and procedures, as well as laws and codes, which both direct and restrict their behavior. Agencies must be deliberate in finding ways to mitigate the burden. Functioning with 500 pages of historically accumulated material, ungrouped, minimally cross-referenced, and un-indexed material does not evidence attention to user. Remedies/improvements worth considering:

- ❑ Streamline Content. The 26-page Employee Performance Evaluation SOP (G.O. No. 01-26) could be placed in a separate Personnel Manual. As could G.O.s on Appearance and Uniforms. There is no need to have the Organization chapter in the basic manual.
- ❑ Sort, classify, and label SOPs according to purpose.
- ❑ Introduce (activate) a search/keyword functionality to the RMS.
- ❑ Above all, prioritize and promote real time access to the most essential SOPs, defining these by liability and citizen protection criteria.

We are forwarding a manual from a law enforcement agency that will demonstrate what we are suggesting in terms of classification/structure.

There has been talk in the department about pursuing national accreditation. This is certainly a recommended pursuit. However, CALEA accreditation is premised largely on an up-to-date and well-structured body of policies and procedures. The APD is not sufficiently close at this time. As the department goes forward to improve the current body of policies, it should do so by incorporating the standards required by CALEA. The Commission can provide guidance/technical assistance/training for an APD policy restructuring effort.

Promoting/forcing learning and relearning of the content of SOPs “tails off” with tenure. Supervisors and executives have responsibilities and assignments that require currency with the body of policies and procedures. This is not as true with the rank and

file. (This explains, we speculate, the bi-polar nature of responses to the workforce survey.) It is admirable to modify performance evaluations and promotional testing practices to measure comprehension of SOPs. Further, the APD should conduct agency-wide training/re-training annually. The APD has come to rely on the Maine Chiefs of Police Association for training, a cost-effective strategy. The APD needs to look to itself in this instance.

The workforce survey is the source for final comments. Subject cited areas which call for new policies, revisions, or clarification are: guide to disciplinary actions; evidence collection, retention, and disposition; time accounting, SRT team and equipment; and disorderly conduct issues. APD should reexamine declared needs.

SECTION 5: RECOMMENDATIONS

To strengthen policy and procedure practices, the APD should consider the following actions:

1. Complete a comprehensive review of the content of all APD SOPs.

Guiding criteria should be introduction of contemporary best practices and legal defensibility.

2. Restructure the manual (body of policy) to promote “accessibility.”

Grouping like-kinds of subject matters (SOPs), creating a detailed index, and backed up with electronic search capability will all help.

3. Intensify formal, continuous learning and re-learning strategies.

The performance evaluation and promotional processes offer easy opportunities. Increasing workforce participation in drafting and revising SOPs is another.

4. Fill gaps identified by the workforce

Monitoring workforce policy needs should be continuous.

CHAPTER IV. PROFESSIONAL STANDARDS

The professional standards continuum encompasses ethics and integrity development, citizen complaints, internal affairs, discipline and sanctions. In the APD pertinent policies and practices are governed by General Order 03-37, Complaints against Police Personnel, the primary order. Reinforcing policies including Hate Bias Crimes and Violations of Civil Rights (03-38) and Chapter 3, Duties of Members, which includes the Law Enforcement Code of Ethics. The Mission Statement is significant with inclusion of the intent to deliver competent, fair, and impartial police services.

The collective bargaining agreements concentrate on grievance procedures and terms of separation. They do not focus heavily on allegations against employees and subsequent investigations and sanctions. The Teamster - City Government agreement is a bit more detailed.

SECTION 1: GOALS AND OBJECTIVES

The policy foundation for serving the public ethically and professional police behavior is stated in G.O. 3-37:

The image of the department depends on the personal integrity and discipline of all department employees. To a large degree, the public image of this department is determined by the professional response of the department to allegations of misconduct against it or its employees. The department must completely and professionally investigate all allegations of misfeasance, malfeasance, nonfeasance by employees and complaints bearing on the department's response to community needs.

The policy of the APD is an adaptation of a model prepared by the Maine Chiefs of Police Association.

The APD does not set measurable objectives for any professional standards consideration.

SECTION 2: ORGANIZATION AND STAFFING

By practice, the Deputy Chief is the primary manager of the citizen complaint process. The Chief becomes involved when discipline is recommended. Policy declarations of relevance are:

- ❑ As a rule, complaints regarding law enforcement operations will be handled through the chain of command. Complaints involving how police service is provided or failure to provide service or improper attitudes or behavior will normally be investigated by either a Shift Sergeant, Shift Lieutenant, Division Commander or other Police Supervisor as assigned by the Chief of Police or designee.
- ❑ Complaints alleging improper police conduct, brutality or misconduct involving employees will be handled as an internal affairs matter. The Chief of Police or designee may request that the Criminal Investigative Division of the Attorney General's Office review or investigate an incident of this nature.
- ❑ The Chief of Police or designee will be notified in writing or other communication of all complaints by the supervisory officer that has received such a complaint. Such notification will include the alleged allegation, employee(s) involved, the individual reporting the incident, the current status of the complaint and the investigation number.

Serious allegations are most often investigated by the CID.

SECTION 3: THE COMPLAINT PROFILE

Five years of citizen complaint data is displayed in Table 16. The department records an average of 16 complaints annually. Half are classified as Conduct Unbecoming. One-third are violations of policy (SOPs).

The disposition profile requires some interpretation. APD policy sets four commonly used disposition options:

- ❑ Unfounded - no truth to the allegations
- ❑ Exonerated - allegations true, but results of adherence to proper and appropriate police procedures and techniques
- ❑ Not sustained - unable to verify the truth of the matters under investigation
- ❑ Sustained - allegations true.

Table 16
CITIZEN COMPLAINTS AND DISPOSITIONS⁽¹⁾
2005-2010 (10/5 - 9/10)

	2005-2006	2006-2007	2007-2008	2008-2009	2009-2010	TOTAL
☐ Allegation/Investigation Class						
- Conduct Unbecoming	11	9	9	6	6	41
- SOP Violation	4	12	4	4	3	27
- Excessive Force		1	1	1	1	4
- Violation of Law			1			1
- Traffic Complaint		2		2		4
- Criminal Behavior	—	4	—	—	—	4
TOTAL	15	28	15	13	10	81
☐ Dispositions						
- Closed	2	1	1	1	1	6
- Corrective Memo	2	1	1	1		5
- Not Sustained	1		2			3
- Open - Inactive			1	1	1	3
- Victim Ref/Cooperate			1		1	2
- Counseled		7	1	2		10
- Unfounded	4	8	5	1	5	23
- Suspension	1		1			2
- No Action Taken	1	4	2	3	1	11
- Other		3				3
- Verbal Reprimand		1		4		5
- Written Reprimand	2	1				3
- Exonerated	2	2				4
- Under Investigation	—	—	—	—	1	1
TOTAL	15	28	15	13	10	81

⁽¹⁾ Data do not include internally-generated activity.

From the data set provided disposition results are:

<input type="checkbox"/>	Unfounded	23	28%
<input type="checkbox"/>	Exonerated	4	5%
<input type="checkbox"/>	Not Sustained	3	4%

The data set does not definitively label the number or proportion that is sustained. Of the 51 cases unaccounted for three are open/inactive; six are closed; 11 are listed as No Action Taken. Best estimate is that between 31 and 45 were sustained. A department spokesman suggested 51 were sustained.

SECTION 4: COMPLAINT INTAKE AND MANAGEMENT

Open and convenient complaint intake is encouraged:

- Every effort shall be made to facilitate the convenient, courteous and prompt receipt and processing of citizen complaints. An employee of the department who interferes with, discourages or delays the making of such complaints shall be subject to disciplinary action. (G.O. 3-37)
- Complaints, regardless of nature, can be lodged in person, by mail, email or by phone at any time. As part of the follow-up investigative activity, persons making complaints by mail or phone will normally be interviewed and a written, signed complaint prepared. Anonymous complaints will be documented in the same manner as other complaints and followed up to the extent possible. (G.O. 3-37)

The APD section of the city's website, under FAQs, treats intake. It directs citizens to call (telephone) or write (mail). Information is not posted/provided in the HQ lobby, but desk personnel are usually available. Online filing is not available at this time.

Normally a citizen with a complaint is referred to a Shift Sergeant, Shift Lieutenant, Division Commander or other supervisor who assists the citizen in recording pertinent information.

The Police/Citizen Personnel Complaint Form is used to record details of the complaint and citizens (complainant) identification information, but not in every case. Information from a complaint letter might be entered directly into the RMS. Another example is an internal policy violation complaint where the supervisor enters information directly in the RMS. Therefore, the form is not a control document to be

completed in every case. The policy, as per III.D., only requires that all complaints be entered in the “internal Investigative section of the Augusta Police Department computer system and assigned an IA number.”

Assignment and investigation of complaints is based on whether a complaint meets criteria for an Information Complaint or Formal Complaint. Supervisors can accept an informal complaint, which is non-serious according to the criteria, and self-assign it for investigation. For example, a citizen complains an officer has been rude. A supervisor can take the complaint, enter it into the computer system, investigate it, and complete the report through the RMS. The Deputy Chief is notified of the complaint through the chain of command. A supervisor can issue a Corrective Memorandum or recommend a higher level of sanction. A Letter of Reprimand requires a lieutenant’s approval. A suspension would require the Deputy Chief’s approval and recommendation to the Chief.

In more serious cases, those that meet the criteria of a Formal Complaint, a supervisor puts the complaint in the system, notifies the Deputy Chief through the chain of command, and awaits further direction. The Deputy Chief assigns the case to an investigator, the same supervisor, a different supervisor, or one of the lieutenants. Cases involving serious misconduct and/or alleged criminal conduct are assigned to the CID Lieutenant. In these cases (Formal Complaint/Investigation), the investigative report is reviewed by the Deputy Chief who makes a finding and a recommendation to the Chief regarding sanctions, usually a range of sanctions based on past cases and a desire to be consistent.

SECTION 5: DUE PROCESS AND SANCTIONS

G.O. 3-37 carefully sets forth the APD’s Fourteenth Amendment, guarantee of due process, rules (separate) for administrative and command investigations, states Garrity requirements, notes Miranda requirements, and sets forth availability of “Investigative Tools and Resources” (medical and lab examinations; lineups; photos; financial disclosures; and polygraphs).

Disposition categories are stated. Honoring the city’s commitment to progressive discipline concepts, a hierarchy of sanctions is available in cases where allegations are sustained: counseling; verbal reprimand; corrective memorandum; letter of reprimand; supervisory notice; dismissal notice. Guidelines to match transgressions to sanction options and prescribed disciplines (a day off without pay, for example) could not be found.

SECTION 6: PROFESSIONAL STANDARDS TRAINING

Training records document coursework in ethics by 33 members of the APD since 2001, but none since 2004. The group is heavily populated by current lieutenants and sergeants and includes the recently retired chief. Course hours range from two to 16.

SECTION 7: EVALUATION

Core measures of integrity and professional behavior are:

- Number of complaints/allegations of misconduct filed by citizens and supervisors
- Nature of those complaints/allegations
- Patterns of findings, particularly the number sustained
- Trends of the foregoing measures.

Companion measures of significance include:

- Openness of the complaint process (intake)
- Responsiveness to complaints and transparency of investigations
- Fairness of the disciplinary process, both equality and equity
- Citizen and officer satisfaction with results of the complaint/internal affairs process.

Judged against the measures we are able to apply, the APD fares reasonably well with regard to the core measures, less well with companion measures.

The number of citizen complaints recorded by the APD are modest, about one each month in most years. Nature of recorded allegations does raise alarm. Excessive force and criminal behavior allegations, two of the most serious classes, are few. (Data did not lend itself to analysis of content of the Conduct Unbecoming and SOP Violations classes.) Measured by number of cases which ended with some level of action/sanction (23) the disposition profile, which departs in structure from that called for in policy, suggests that allegations and IA investigations are taken seriously. Citizen lawsuits, an externally-focused measure of police officer behavior, and grievances, an internal measure of the "professional climate," are both very positive in Augusta.

To more fully achieve the APD's stated professional standards goal the APD can improve the complaint intake process, tighten control, and engage that portion of the workforce that has less than favorable perceptions of equity.

Intake. Most simply put, use of the Affirmation page of the Police/Citizen Personnel Complain Form, and its intent, should be discontinued and rethought. Understanding that police agencies wish to protect their officers from trivial and retaliatory complaints and behaviors from the public – and for good reason, it is better not to require citizens to sign a document that is threatening (“may subject me to civil and/or criminal prosecution) and potentially economically disadvantageous (my testimony before these hearings may be required). The procedure is, also, totally incongruent with a policy that allows for anonymous complaints.

The New England Journal of Medicine reported that “Effective physician-patient communication . . . not quality of care or documentation is key to avoiding malpractice suits.” Effective police-complaint communication is essential to satisfying citizens. The Affidavit is highly likely to minimize effective police-complainant communication.

Controls. Every allegation must receive a control number from a single accountable central agency official (and/or controlled issuing system). Central intake and positive auditability does not seem to be present in the APD. Policing requires that every complaint be entered into the RMS, audit and control does not seem to be formally assigned. Industry-wide, “informal complaint” accounting is a bit loose. Our proposed organization assigns this responsibility to the Professional Standards Lieutenant.

Equity Perceptions. Thirty (30) members of the workforce responded to the survey question regarding citizen complaints, investigations and discipline. Nine respondents, 30%, declared practices to be unsatisfactory. Nine more opted for “Neither satisfactory nor unsatisfactory.” Of the 12 who consider practices favorably, six are sergeants or lieutenants.

Asked to explain the unsatisfactory choices, the obvious pattern is a perception that results correlate with favorability – how command views individuals.

This question often draws negative response in our surveys, often based on similar perceptions. Still, the presence of these perceptions is significant. Research suggests that in agencies of social control (police, military) those who believe in the integrity of their organization display greater integrity toward communities and citizens. Repeating that all evidence we have defines the APD and its officers as a high value/high integrity agency, the equity gap should be examined. Agencies are advised to function with the guidance of discipline matrices, mechanisms that can add consistency to the disposition and sanctioning processes.

SECTION 8: RECOMMENDATIONS

To strengthen citizen complaint, internal affairs, discipline practices, the following actions should be taken:

1. Jettison the affidavit practice.

The requirements should be explained to complainants, in the least threatening manner possible. Providing a written copy of the main points can be considered. The binding “sign here” practice is not advisable.

2. Ensure that every complaint, no matter how minor or how disposed of, is recorded.

3. Develop a discipline matrix.

Share the matrix with everyone in the APD.

4. Train/retrain the entire agency in professional standards and ethics.

Those who have joined the agency since 2004 have academy training only, it appears.

We are forwarding an IACP work, Building Trust between the Police and the Citizens They Serve: An Internal Affairs Promising Practices Guide for Local Law Enforcement. This very recent review of best practices is worth examination by APD executives, commanders and supervisors.

CHAPTER V. ORGANIZATION AND STAFFING

Many of the chapters that follow address organization, staffing, scheduling, functions, and workload of divisions and units that compose the APD. This chapter, which is built from material that follows, draws division/unit-focused analyses together.

SECTION 1: CURRENT STRUCTURE

The APD consists of three divisions and an executive command team:

- ❑ Chief of Police
- ❑ Deputy Chief of Police
- ❑ Communications (division)
- ❑ Patrol (two divisions)
- ❑ Investigations (division)

The arrangement of these components and the chain of command are shown in Figure 1.

OFFICE OF THE CHIEF

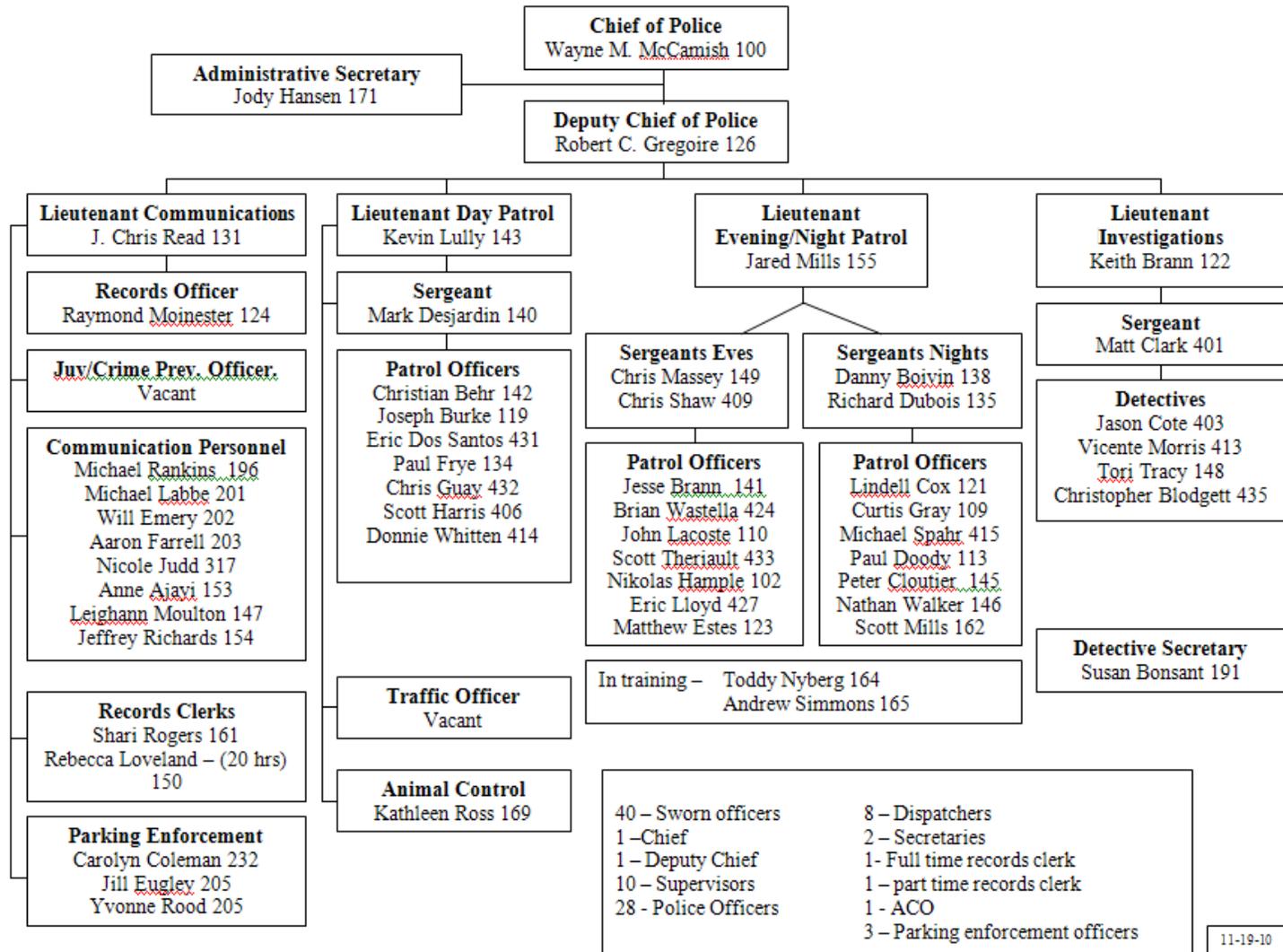
The Chief has ultimate responsibility for APD philosophy, style, goals and objectives, policies and practices, and its success in protecting community safety and services citizen needs. He is responsible for building agency capacity and productive returns on resource investments. Department integrity and officer behavior is primary. He functions as a member of the city manager's executive team.

An administrative secretary provides a broad range of administrative support for the Chief directly and for the Deputy Chief. Maintenance of department training records, personnel files, payroll, and accounts payable/receivable are among the primary job functions

The Deputy Chief is responsible for the performance of all lieutenants and accordingly, the effectiveness of the functions they manage. The Deputy Chief also appears to have primary responsibility for managing the policy and procedures function, special projects, currently a special response team, for example, and liaison and engagement work with city IT teams on RMS and related technology issues.

Figure 1

AUGUSTA POLICE DEPARTMENT - ORGANIZATIONAL CHART (November 2010)



COMMUNICATIONS

Communications is commanded by a lieutenant. In the absence of unit supervisors, managers, or senior titles, he is responsible for direct day-to-day supervision of all functions and activities. The Lieutenant devotes substantial attention to sex offender reporting activities. Maine statutes require released sex offenders to report to their local police periodically.

Records Officer. This officer conducts evidence and recovered property duties, processes and delivers paperwork for submission to courts, delivers paperwork to state agencies, assists the Lieutenant with sex offender management, and does some community engagement work.

Communications/Dispatch. Primary functions are call intake, call distribution, emergency dispatching, database information retrieval (NCIC, DMV, etc), and services the front desk.

Records. Records clerks service citizens at the front desk; file hard copy paperwork and fingerprint cards; process, including data entry, an assortment of documents (taxi cab applications, orders of protection, subpoenas); and collect (receive) and account for fees.

Parking Enforcement. Monitor violations, process parking permit paperwork.

PATROL

The APD's first responders deliver an extraordinary range of crime-focused and citizen service activities. The range was detailed in Table 9. Notable in the portfolio is the concentration of follow-up investigations.

Sergeants concentrate on supervision. They do not routinely serve as first responders (are not assigned dispatched calls) but engage heavily as backups.

Animal Control. The ACO is dispatched to a range of situations, including dog bites, wild animal complaints, and stray/unlicensed animals. Patrol officers are responsible for these types of calls in the two shifts when the ACO is not working.

INVESTIGATIONS

Investigations is commanded by a Lieutenant. In addition to commanding the division, the Lieutenant carries a small caseload, generally complex and/or sensitive investigations, and manages Internal Affairs, including some investigative work.

A sergeant is the day-to-day operations supervisor. This entails case assignment, case progress review, closure decisions, and supervisory case preparation for prosecutors. The sergeant carries a very small follow-up caseload. He conducts applicant background investigations.

Detectives conduct follow up investigations and post arrest activities when necessary to support prosecutions and judicial proceedings. Detectives are generalists, who work all types of cases. Simultaneously, some specialization occurs. One detective, a narcotics case specialist, concentrates on Augusta-based cases and is simultaneously assigned to the regional drug task force for the Maine Drug Enforcement Agency (MDEA).

The secretary is tasked with support and administrative activities, some of the priority being crime reporting (NIBRS), warrant management (NESPIN), pawn tickets, and the department alarm program.

SECTION 2: CURRENT STAFFING

Total actual staffing is 55.5, 42 sworn and 15.5 non sworn.

Sworn

Chief	1
Deputy Chief	1
Lieutenants	4
Sergeants	6
Patrol Officers	23 (includes two in training)
Police/Other Officers	1
Detectives	<u>4</u>
Subtotal	40

Non Sworn

Dispatchers	8
Secretaries	2
Records Clerks	1 full time 1 part time
ACO	1
Parking Enforcement	<u>3</u>
Subtotal	15.5
Total	55.5

Rank /class distribution of the APD staff is displayed in Table 17.

Rank/Class	Number	Percent of Sworn	Percent of Agency
□ Executive	2.0	5%	3.6
□ Command (lieutenants)	4.0	10%	7.2
□ Supervisors (sergeants)	6.0	15%	10.8
□ Detectives	4.0	10%	7.2
□ Police/Patrol Officers	24.0	60%	43.2
□ Non-sworn	<u>15.5</u>	-	<u>27.9</u>
Total	55.5	100%	100%

Thirty percent (30%) of positions are supervisors and above. There is one supervisor, commander, or executive (for a total of 10) for each three (3) non-supervisors, officers and detectives (total of 30). There is not one civilian in the agency with supervisory/managerial authority and responsibility.

Distribution of staff by division/unit (filled position) is:

<u>Division / Unit</u>	<u>Number</u>	<u>Percent of Agency</u>
□ Office of Chief	2.0	3.6%
□ Deputy Chief	1.0	1.8%
□ Communications	14.5	26.1%
□ Patrol	31.0	55.9%
□ Investigations	<u>7.0</u>	<u>12.6%</u>
	55.5	100.0%

Patrol houses 55% of the agency personnel. First responders (officers only, supervisors and commanders excluded) number 23, just 41% of the agency.

SECTION 3: UNCHARTED FUNCTIONS

The APD receives critical support from the city government. Primary are IT, human resources (recruitment advertising, promotional testing), vehicle and building maintenance, procurement, and budget control.

SECTION 4: PROPOSED ORGANIZATION AND STAFFING

From a resource investment and production standpoint, the APD has served the community well. It delivers high levels of service, with few examples of unused capacity present in the organization. At the same time, the implications of the environmental factors examined earlier, none more compelling than the need to find the “new normal,” paralleled by findings of our study, especially workload, measurement, and the opportunity for prudent introductions of a series of currently advocated best practices, clearly call for reprioritizing of APD resource allocations and organization of resources.

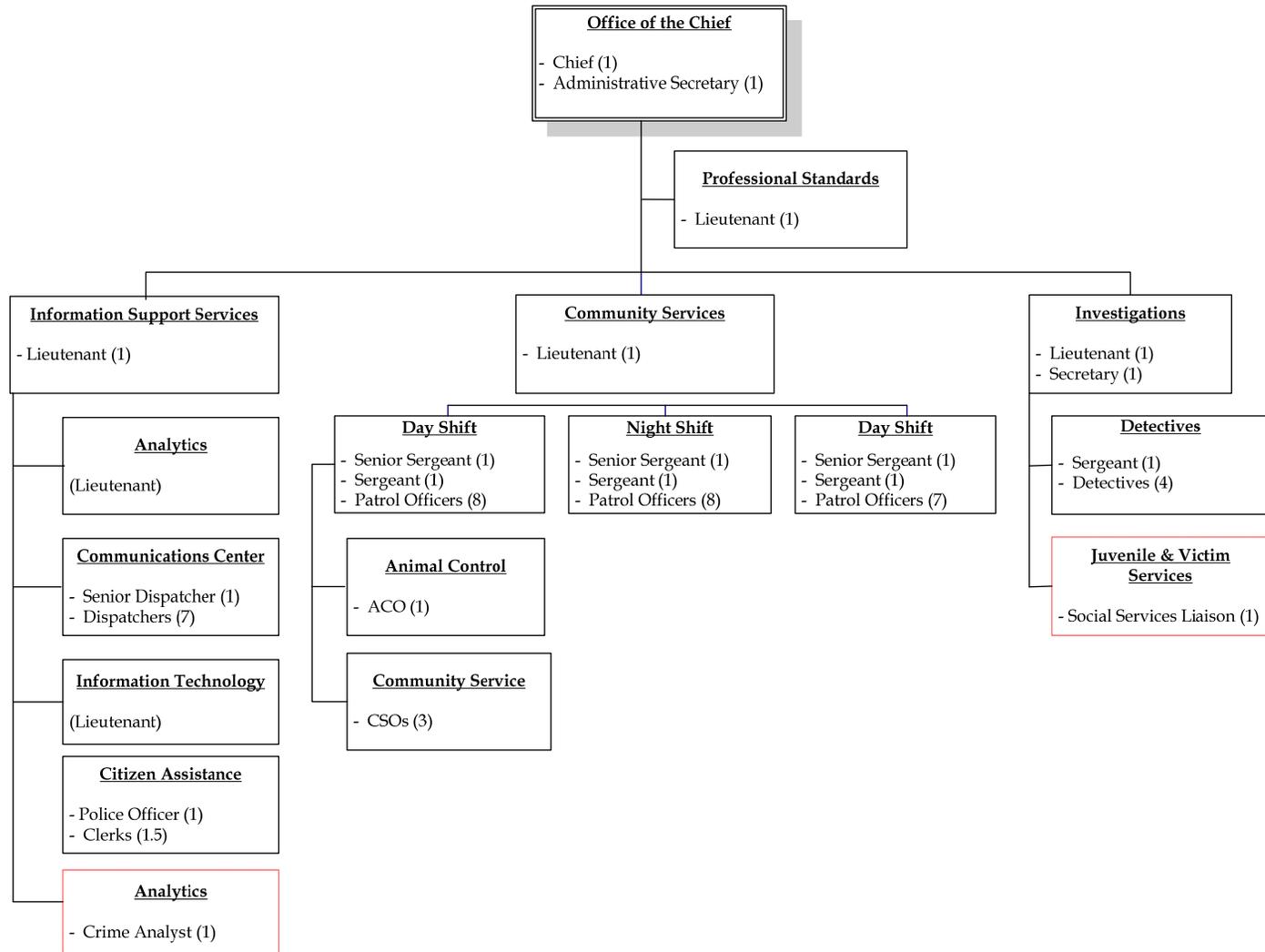
The organization and staffing model proposed (Figure 2) reflects consideration of the following design concepts and guidelines:

- ❑ Need to maximize fiscal austerity
- ❑ Need to match critical workload with sufficient productive capacity
- ❑ Opportunity to fully exploit the values and techniques of contemporary analytics (such as Compstat and Intelligence-Led Policing); prevention options (citizen crime prevention education); citizen/community partnership, service sharing, and service sacrifice (reductions in APD-supplied services)
- ❑ Opportunity for resource leveraging (volunteerism)
- ❑ Supervisory shortfalls and excesses (short in dispatch; excessive command-officer ratio collectively)
- ❑ Need to incentivize the path to the CEO positions (eliminating the Deputy Chief stovepipe)
- ❑ Need to intensify leadership preparation and professional growth (rotations among, especially, lieutenants).

Note that what we present is a model. It is not to be considered static or the one best way. Alternative models can be equally effective.

Figure 2

AUGUSTA POLICE DEPARTMENT- PROPOSED ORGANIZATION



Overview. The proposed organization is not, deliberately, a radical departure from the current. This should enable manageable minimally disruptive transitions. The three-branch Patrol, Investigations, and Communications structure is retained. Beyond several title changes that we believe better reflect the intent and focus of services, the major revisions would be:

❑ **Elimination of the Deputy Chief position**

Except for large and/or complex organizations, we do not find the one-one (Chief-Deputy Chief) arrangement necessary. We often find it unproductive with an unequal distribution/over-concentration of authority and/or responsibility. The arrangement is often a disincentive to leadership opportunity and expectations. The Deputy Chief is often viewed, accurately or inaccurately, as the heir-apparent.

❑ **Transfer of one lieutenant position to a proposed newly created Professional Standards unit**

Accountability has to be more firmly fixed for several functions including training, research and planning, and resources supplementation (grants, VIPS).

❑ **Establishing supervisory and senior supervisory positions**

Eight persons function in Communications without a unit supervisor. The Lieutenant has 14 direct reports. We recommend easing his administrative burden to free time to introduce more IT and analytics responsibilities.

Senior sergeants positions make sense for the shifts. This calls for two positions and creation of a new sergeant position.

When and if fiscal conditions improve, a civilian crime analyst and a social services liaison, also civilian, should be added to the staff complement. These are shown in the red boxes. They are not counted in the proposed table of organization. The social services liaison would fill and replace the Juvenile/Crime Prevention officer position, which existed for several years. The Traffic Officer position (vacancy) should be removed from the table of organization.

Office of the Chief. The Chief retains ultimate accountability for the philosophy, policies, practices, and performance of the APD. No change in staffing is recommended. The administrative secretary position is retained to service the office.

Office of Professional Standards. To be staffed by a lieutenant. This newly formed office would be responsible for professional standards – normally encompassing:

- ❑ Acquisition and retention of quality personnel (recruiting, selection, EAP activities, and turnover control)
- ❑ Training and Education – recruit, in-service, and leadership training for sworn and civilian employees
- ❑ Research and Planning – including policy and procedure work, special projects, and best practice research
- ❑ Evaluation – program and personnel
- ❑ Internal Affairs – including ethics training and community trust building
- ❑ Resource Leveraging – building a VIPS program and maximizing grant success.

Information and Support Services. This is a restructuring of the current Communications Division to move the APD forward in ILP (Intelligence-Led Policing). It calls for new emphasis on contemporary capacities, all built on information platforms. These include Compstat, which is used only informally in the APD; problem-solving policing; and predictive analytics. The Citizen Assistance Unit, which merges the current Records Officer and the Records Clerks, would house a proposed citizen report intake function (via telephone and/or Internet), designed to reduce officer on-scene responses. This will entail use of volunteers and elimination of the report review function currently conducted by the Records Officer. This position should be civilianized when the opportunity presents itself.

Parking enforcement, a field-based activity, should be relocated to Patrol (Community Services). Parking Enforcement, a low-yield endeavor at present, should be examined to determine whether the Parking Enforcement Officers (PEOs) can be trained to assume duties traditionally performed by Community Service Officers – civilians who relieve first responders of a variety of services activities.

Community Services. Recognizing that the APD Patrol Division delivers full service – and more non-crime than crime-related service, the title Community Services better conveys the nature of the field-delivered services. The proposed structure differs from the current in two respects. It concentrates and unifies day-to-day authority and accountability in one lieutenant. Currently, the Deputy Chief exercises authority and

accepts responsibility through two lieutenants, one commanding one shift, and the second commanding two shifts.

We also seek to reduce diffusion of authority and sharpen responsibility by appointing a senior sergeant for each shift.

Note that the command/supervisory – first responder ratio would reduce from 1:2.6 (current lieutenant included) to 1:3.3 (proposed). This is still far below a 1:8 ratio considered viable. The APD schedule does not allow better options. Under different circumstances we would recommend adding officers, as workload analysis would justify. This would produce an even more favorable ratio “pick up.” A different path has been chosen in lieu of the new normal dictate.

The two recruits currently in training have been added to shift allocations, one on days and one on evenings. This placement is based on workload analysis.

Sergeants are capable of taking more calls, freeing others to do parking enforcement.

Investigations. Organizationally, including proposed staffing, the Investigations Division would remain unchanged. We do recommend new or intensified concentration on several priorities, which can be reasonably added in view of a finding that this division has unused capacity.

The Juvenile/Crime Prevention officer, now a four-year old vacancy, has resulted in atrophy of a formerly more compassionate and cost-effective approach to juvenile matters. A “station-house adjustment” has given way to a direct-sanction process – immediate referral of juveniles to the juvenile court system. It is recommended that the investigators manage resources to restore the former approach. Every investigator should be trained, philosophically and tactically, to concentrate on juvenile matters – including prevention activities.

Hometown security capacity, intelligence gathering, and regional relationships, for example, can be upgraded within current resource allocations. A suspicious activity reporting (SARS) initiative is a good place to start.

The department is very conscious of the value of police – social services relationships. If in the future a social service liaison position can be funded, this is recommended. It is a better option than the one just recommended.

SECTION 5: STAFFING COMPARISON

Table 18 displays current and proposed staffing. No change is proposed in staffing totals. Our plan calls for the APD to remain at 55.5 actual positions for the very immediate future. Similarly, no change is proposed to either the sworn or non-sworn complement.

Table 18			
STAFFING COMPARISONS			
Position	Current - Actual ⁽¹⁾	Proposed	Difference
☐ Sworn			
Officers	24	24	0
Detectives	4	4	0
Sergeants	6	4	-2
Sr. Sergeants	0	3	3
Lieutenants	4	4	0
Deputy Chief	1	0	-1
Chief	<u>1</u>	<u>1</u>	<u>0</u>
Subtotal - Sworn	40	40	0
☐ Non-Sworn			
Animal Control Officers	1	1	0
Clerks	1.5	1.5	0
Dispatchers	8	7	-1
Sr. Dispatchers	0	1	1
Parking Enforcement Officers	3	0	-3
Community Service Officers	0	3	3
Secretaries	<u>2</u>	<u>2</u>	<u>0</u>
Subtotal - Non-Sworn	15.5	15.5	0
Totals	55.5	55.5	0

⁽¹⁾ Count does not include vacancies shown on Figure 1.

SECTION 6: TRANSITION PLANNING

Restructuring must occur in planned increments. First, the city manager, with support from the council, and with advice from the new chief and in consultation with labor representatives, should determine which organizational moves he wishes to make. Promotions (senior sergeants) are always easy because they are popular. Fiscal impact

may be the deciding factor in Augusta. Creating the professional standards job also will create little dislocation and stress. Training is a requirement as is true for a new role for the Information and Support Services Lieutenant.

Most potential moves present few structural/operational difficulties. A plan is essential.

CHAPTER VI. PATROL SERVICES, STAFFING, AND DEPLOYMENT

Patrol is the preeminent function of the Augusta Police Department. It is the direct link to the public, the primary provider of non-crime services, and the heart of the agency's crime control effort. Patrol commands the largest portion of the Augusta Police Department's resources. For this reason alone Patrol resources must be invested with utmost care.

This section of the report addresses patrol staffing, primarily first responder requirements, analyzes current patrol officer workload, and proposes a service and staffing model for the immediate future.

SECTION 1: OBJECTIVES

The patrol staffing, deployment and scheduling objectives of any police agency are to ensure that a sufficient number of officers and supervisors are available to:

- ❑ Respond to calls for service in a timely fashion
- ❑ Deploy patrol officers as closely as possible, with the temporal and geographic incidence of criminal, non-criminal, and traffic demands for service
- ❑ Conduct prevention and other proactive tasks effectively
- ❑ Allow sufficient time for priority electives such as community engagement and problem solving
- ❑ Allow patrol officers to meet essential administrative obligations adequately (court, training, briefings, equipment maintenance, and report writing, for example)
- ❑ Address the special needs of the policing environment.

A staffing model must incorporate adequate safeguards to support officer safety, while at the same time maximizing Patrol resources. These objectives guided development of the recommendations that follow.

SECTION 2: STAFFING FACTORS

Ready-made, "turn-key" applicable patrol staffing standards do not exist. Though often employed, ratios such as officers per thousand are totally inappropriate as the sole basis for staffing decisions. Requirements must be tailored to a mix of factors which is

unique to each locality/agency. Patrol staffing work relies on construction of a comprehensive and intricately networked database and application of a complex methodology, informed by an understanding of an agency's policing environment and patrol methods. Results can then be leveraged by a community based upon their local crime and service priorities and quality of life focus.

To define patrol staffing requirements, the following factors, the mix of which is unique to each locality and agency, should be considered:

- ❑ Policing philosophy
- ❑ Crime and service levels and trends
- ❑ Population size, density, and composition
- ❑ Organization of Patrol
- ❑ Support elements for Patrol
- ❑ Geography, particularly size and distance within districts, and distance from districts to headquarters
- ❑ The type and use of overtime
- ❑ Climate, especially "seasonality" (summer or winter tourism, if any)
- ❑ Policies of courts, prosecutors, corrections and probation
- ❑ Citizen attitudes toward crime
- ❑ Available resources
- ❑ Trends in the aforementioned areas
- ❑ Special community considerations, such as tourism or, in the case of Augusta being the State Capitol, legislature session impacts.

Patrol methods and experience and productivity of supervisors and officers should be considered.

SECTION 3: DATABASE ARCHITECTURE AND PREPARATION

The staffing model prepared for the APD is built from agency-supplied records, data from the APD's computer aided dispatch system (CAD) for a one-year period, January 2009 through December 2009. CAD data account for all recorded calls for service and officer-initiated activities for all field operations, dates and times calls were received by Communications, times to process calls, times calls were dispatched, time officers arrived, times calls were completed, nature of an activity, location of activity, and responding units and officers.

Database Cleansing. Data were sorted by patrol unit using designators and individual identification (ID) numbers supplied by the APD. The database was refined

to include only activities conducted by primary APD response units, defined as units with primary responsibility to answer calls for service, patrol, and conduct community policing activities within a specified district. Dispatch information for other jurisdictions, the fire department, and for police units whose responsibility is other than patrol (e.g., supervisors, detectives, parking enforcement and animal control) were eliminated.

Coding errors (null values), duplicate entries, and missing data were repaired when possible. Two common dispatcher/report time entry errors – zero time entries and failure to enter a completion time, were corrected by inserting mean times for specific activities.

The database was reformatted from CVS (text) into Excel, sorted and analyzed. For certain analyses, SPSS (Statistical Package for the Social Sciences) was employed.

Database Preparation. To ready the database for analysis and calculation of staffing requirements, events were sorted into 10 classes of labor:

- ❑ **Criminal - Dispatched.** Labor associated with reported crime. This labor originates in the community as a call-for-service. Criminal labor includes travel to a crime scene, time at scene, return travel, report writing, and time spent on arrest or transportation of prisoners resulting from an offense. Time also includes follow up investigations based on the initial call.
- ❑ **Criminal - Officer-Initiated.** Labor resulting from officer-initiated criminal incidents. In these cases, a criminal call is not dispatched. Work results from officer observation, from flag down by citizens, or from investigation. Labor in this category includes report writing times and time consumed by arrests. Generally officer-initiated calls are distinguished from calls for service by analyzing the time from dispatch to on-scene. Problems with the CAD data regarding dates/times prevented detailed examination of this category. In some cases study staff made assumptions based upon the absence of data to obtain workload data.
- ❑ **Back-Up.** Labor resulting from back-up of other officers. This usually involves serious offenses where the safety of a responding officer is or may be in question. CAD logs provide information on backup for each call. Since the CAD lists backup officers as second cars as well as separate calls to the same address at the same time of the original call, discrimination as to actual time for backup was not possible. However, random sampling of the data did not disclose over response. Based on findings from previous management studies, we estimated that backup

officers generally spend approximately 50% of the time of the primary officer.

- ❑ **Directed Patrol.** Labor associated with specific elective activities, normally performed at the direction of a supervisor. Directed patrols normally result from citizen requests or crime and incident analysis. Common categories are pedestrian checks, reckless driving, and drug transactions.
- ❑ **Non-Criminal-Dispatched (Service Calls).** Labor associated with reported activity from the community which is not criminal in nature. Wellness checks of the elderly, lost and found items, lost children, and animal-related complaints are examples.
- ❑ **Non-Criminal Self-Initiated.** Labor associated with on-view incidents discovered by the police which are not criminal in nature.
- ❑ **Traffic Calls.** Labor associated with reported traffic incidents or agency-directed traffic enforcement, such as traffic accidents or traffic direction. Report writing time is included. Examples of traffic calls included accident calls and traffic complaints, among others.
- ❑ **Self-Initiated Traffic.** Labor associated with traffic activity that is initiated by an officer. Traffic stops or accidents that have not yet been reported are examples.
- ❑ **Community.** Labor associated with community activities. Time spent on lectures, walk and talk, neighborhood watch, and community-oriented and problem-solving activity are examples. CAD provides limited information on these types of activities by first responders. Interviews and field observation provided additional information used for analysis.
- ❑ **Administrative.** Labor consumed by patrol officers to maintain vehicles, handle personnel matters, training during the tour of duty, deliver administrative items for the department, pick up purchases for the department, and meet with supervisors. CAD provides some information on a few administrative activities, but not all. Interviews and field observation supplied most of the information used for analysis.

CAD information on reports written, citations given and arrests made, where logged, was considered.

SECTION 4: MEASUREMENT STANDARDS

Measurement standards make it possible to evaluate and define patrol staffing and deployment requirements with precision. The primary standards employed for the Augusta Police Department study are:

- ❑ Operational labor
- ❑ Uncommitted time
- ❑ Administrative labor.

Operational Labor. Operational labor is the aggregate amount of time consumed by patrol officers to answer calls for service generated by the public and to address on-view situations discovered and encountered by officers. It is the total of criminal, non-criminal, traffic, and back-up activity initiated by a call from the public or an incident an officer comes upon. Expressed as a percent of the total labor in an officer's workday, operational labor of first response patrol officers should not continuously exceed 30%.

Uncommitted Time. The workday must not be so filled with operational labor that officers are unable to respond to emergencies in a timely fashion or engage in mission-critical elective activities. A proportion of the workday must be uncommitted to any other type of labor. Uncommitted time allows for:

- ❑ Time for officers to have and initiate public-service contacts
- ❑ Multiple-officer response to a single or simultaneous priority calls
- ❑ Time for elective activities selected by the agency, such as community policing and problem solving

Uncommitted time is that period of time left over after both committed time and administrative time have been deducted.

For a jurisdiction the size of Augusta, 30-40% uncommitted patrol time is recommended. For patrols between the hours of 10:00 p.m. and 8:00 a.m., 40% is recommended. This permits more rapid arrival of backup during the more dangerous early dark hours and more aggressive patrolling of closed businesses for burglary prevention.

Administrative Labor. Administrative labor (time), a corollary standard, is composed of activities needed to support Patrol operations.

- ❑ Patrol Briefings
- ❑ Lunch
- ❑ Court attendance
- ❑ Vehicle maintenance and fueling
- ❑ Meetings with supervisors
- ❑ In service training
- ❑ SWAT/Specialty on-duty training
- ❑ Special administrative assignments
- ❑ Personnel/payroll activities (health fairs, paperwork review and paperwork)
- ❑ Field Training Officer (FTO) time for both trainee and trainer (variable); on duty training for officers
- ❑ Equipment maintenance (computer, weapons, radio).

Precise information is difficult to assemble in most settings, as is the case in Augusta. Our field observations and analyses of schedules and department procedures suggests that APD administrative time appears to be within the industry norm of 30%. A review of Patrol activities supports this average.

In other studies we have used the 30% across the board for administrative, operational, and uncommitted time with a 10% flex factor; here we are assigning the 10% to the uncommitted time sector.

SECTION 5: CURRENT ALLOCATION AND DEPLOYMENT

At the time of the deployment study, Patrol had an authorized staff of 28:

❑ Lieutenants	2
❑ Sergeants	5
❑ Officers	<u>21</u>
Total Current Strength	28

(Source: Department Roster, 11/19/10 although unchanged from 2009)

During 2009, seven officers were assigned to each shift. Day shift is supervised by a lieutenant, while the evening and night shifts share another lieutenant. Supporting the Day Shift Lieutenant and providing direct field supervision is one sergeant. An

additional sergeant is assigned to each of the other shifts, evenings and nights. Distribution of personnel, by shift is displayed in Table 19.

Table 19			
SHIFT STAFFING			
	Day Shift (0700-1700)	Evening Shift (1430-2430)	Night Shift (2130-0730)
<input type="checkbox"/> Lieutenant	1	1 Lt. for Evening and Nights	
<input type="checkbox"/> Sergeant	1	2	2
<input type="checkbox"/> Officer	7	7	7

Patrol officers work 10-hour shifts. They work four consecutive days, then have three days off, then work four days, and have three days off. The final sequence has them working five days followed by three days off. This day-off sequence repeats every 28 days. Shifts generally have four to five officers working due to staggered days off.

For purposes of patrol, the city is divided into four districts. Considering shift, officer availability, and other requirements, one to two officers is/are normally assigned to each district. District assignment patterns appear to vary by officer and supervisor.

The APD does not appear to have set formal minimum staffing standards. We did not find a written directive that dictates staffing goals or policy. However, discussion with Patrol supervisors found that officers may be called on overtime status to cover vacancies when needed. As an alternative to overtime, supervisors advise that if shortages occur, they will defer staffing District 4.

SECTION 6: AVAILABILITY

Due to a variety of factors, including days off, vacation, sick leave and training, patrol officers are not always available to work. To calculate patrol staffing needs, deploy officers properly by time of day, day of week, and geographical area, and to evaluate productivity, it is necessary to know how often officers do and do not work.

Augusta Police Department field patrol officers are actually available to work an average of 1,691.44 hours annually, 169.14 shifts (Table 20). Availability was calculated on actual use of sick time, vacation or use of other leaves by officers assigned to the shifts. (Data supplied by the Augusta Police Department.)

Overall, the Augusta Police Patrol availability is about average. In other parts of the report we speak to methods to increase Patrol availability. The APD does an efficient job maintaining officer availability for duty through the various leave functions.

Table 20			
APD PATROL OFFICER AVAILABILITY			
Base	10 hours x 365 days	3650 hours	(100.00%)
<input type="checkbox"/> Days off	10 x 156.4 (actual)*	<u>- 1564hours</u> 2086 hours	(57.2%)
<input type="checkbox"/> Vacation	141.33 hours (actual)*	<u>- 141.33hours</u> 1944.67 hours	(53.3%)
<input type="checkbox"/> Sick Leave	98.95 hours (actual)*	<u>- 98.95 hours</u> 1845.72 hours	(50.6%)
<input type="checkbox"/> Military	8.10 hours (actual)*	<u>- 8.10 hours</u> 1837.62 hours	(50.3%)
<input type="checkbox"/> Training	103.04 (actual)*	<u>- 103.04 hours</u> 1734.58 hours	(47.5%)
<input type="checkbox"/> Workman Comp/ Lgt Duty	41.24 hours (actual)*	<u>- 41.24 hours</u> 1693.34 hours	(46.4%)
<input type="checkbox"/> Other Leaves	1.9 hours (actual)*	<u>1.9hours</u>	
	Final Availability	1,691.44 hours	(46.3)%
		169.14 shifts	
* These figures are based on actual leave times for all patrol shift officers.			

SECTION 7: OPERATIONAL WORKLOAD

The CAD documented 59,686 activities (events) for 2009. To isolate the exclusive workload of first responders, all non-patrol calls were removed, resulting in 35,613 activities addressed by patrol officers. Patrol activities were subdivided into two

categories, administrative activities and operational activities. Administrative activities accounted for 5,692 events, while operational activities involved 29,921 events. Operational activities are separated into three categories, criminal, service, and traffic for understanding and analysis. (Table 21)

Table 21		
OPERATIONAL WORKLOAD - ACTIVITIES*		
(January - December 2009)		
Class of Activity	Incidents - Recorded	Percent of Total
<input type="checkbox"/> Crime events	10,246	34.24%
<input type="checkbox"/> Service events	12,386	41.40%
<input type="checkbox"/> Traffic control, enforcement, and accident Investigation	<u>7,289</u>	<u>24.36%</u>
TOTAL	29,921	100.0%

*Includes back-ups

Numerically, operational workload represents 84% of first responder activity (29,921 ÷ 35,613). Of this proportion, service events are most frequent, 41.4%.

Service activities include checking the well-being of individuals, assisting at fire scenes, disposing of found property, service requests, answering legal questions, and dealing with emotionally disturbed persons, as well as social events in the community. Officers logged 2,770 building checks, 1,331 assist a citizen requests, and 1,185 alarm responses.

Crime-related calls accounted for 34.24% of operational activities. This category includes responses to alarms, burglaries, stolen autos, and checking suspicious autos and persons, addressing robberies, and disorderly conduct and domestics. The majority of these incidents originate as dispatched calls for service.

Traffic activities, the third most common source of work, are substantial, 7,289 events (24.36%). Traffic stops (2,160 events) are most common, responding to property damage accidents the second most common (1,389 incidents), followed by traffic complaints (1,168).

APD's 35,613 first responder activities consumed 16,319.5 hours of labor. Administrative events (5,692) accounted for 3,415 hours, 20.93%, well below the 30% standard. Table 22 profiles operational labor in hours.

Table 22		
OPERATIONAL WORKLOAD -- HOURS (January - December 2009)		
Class of Activity	Hours - Recorded	Percent of Total
<input type="checkbox"/> Crime events	5,695:59	44.14%
<input type="checkbox"/> Service events	4,466:59	34.61%
<input type="checkbox"/> Traffic control, enforcement, and accident investigations	<u>2,741:31</u>	<u>21.24%</u>
TOTAL	12,904:30	100.0%

The 29,921 operational events consumed 12,904 patrol hours, an average of 26 minutes per activity. Crime-related work consumed 5,696 hours, 44% of total officer operational labor. Service calls required 4,467 hours, 34.61% of operational labor. Traffic work involved 2,741 hours, 21.24%.

Total available time for 21 officers, for the year, was 35,520.24 hours. Operational labor consumed 12,904.5 hours, 36.33%, somewhat above the guideline of 30%. To achieve the 30% operational labor standard requires 43,015 hours of officer time, 25.43 officers, 4.43 more than the 2009 allocation. In December 2010, APD filled two vacant Patrol positions, bringing the current authorized strength to 23. Recognizing the fiscal tension associated with Augusta's new normal situation and assuming a preference not to hire, the means to reduce workload are discussed as an offset later in this chapter.

SECTION 8: WORKLOAD - DISTRICTS

Two of the four districts are east of the Kennebec River and two are west of the river. Districts vary by size, workload, and neighborhood characteristics. Officers are assigned to a district daily, with some flexing by shift. When officer availability is low due to leave issues, District 4 is not staffed, allowed by a low volume of calls.

Districts 1 and 2 accounted for 18,288 (61.1%) of all calls, while Districts 3 and 4 handled 11,628 (38.9%). (Table 23.) Using a simple split, officers in Districts 1 and 2 are handling 30.5% of the calls (each), while the officers in Districts 3 and 4 are handling 19.5% of the calls (each). Workload is clearly imbalanced and should be adjusted to the degree geography does not impact response time.

Table 23		
ACTIVITY BY DISTRICT (CAD LOGS)		
District	Officer Activity	Percent of Total
<input type="checkbox"/> District 1	8,631	28.85%
<input type="checkbox"/> District 2	9,657	32.27%
<input type="checkbox"/> District 3	7,610	25.43%
<input type="checkbox"/> District 4	<u>4,018</u>	<u>13.43%</u>
Total	29,921 activities	100.00%

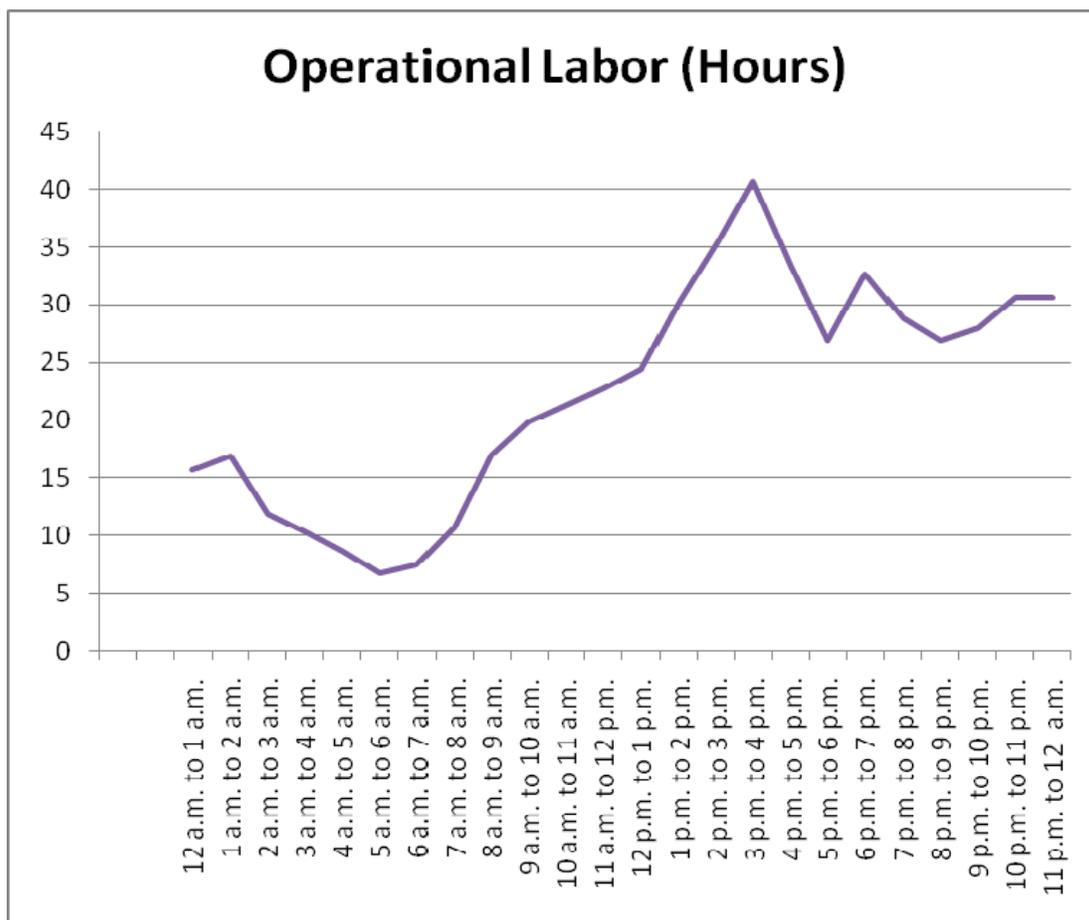
SECTION 9: WORKLOAD - SHIFT (TEMPORAL) DISTRIBUTION

Workload in the city of Augusta distributes by time of day in a manner common to other cities. Incidents begin a gradual rise in number between 8:00 and 9:00 a.m., peaking between 3:00 and 5:00 p.m., a time which coincides with the shift overlap period. Incidents remain high until 1:00 a.m. to 2:00 a.m. and then decline until about 8:00 a.m.

The 30% standard for deployment does not require that every time period during a shift meet the maximum. However, our review of officer availability under the 10 hour shifts in Augusta found that workload continued to remain high through 4 a.m., while staffing levels decreased after 12:30 a.m., when the evening shift departed. This situation suggests that the APD review the shift hours and consider either changes to cover this continued workload with better shift overlap or use a split shift concept where some portion of the evening shift remains longer into the morning hours to assist with the workload. Either option will also improve officer safety during these periods.

Table 24				
INCIDENTS AND OPERATIONAL LABOR BY HOUR OF THE DAY				
	Incidents (Percent)	Incidents (Number)	Operational Labor (Percent)	Operational Labor (Hours)
12 a.m. to 1 a.m.	4.98%	1,489	2.91%	375:18
1 a.m. to 2 a.m.	5.39%	1,612	3.14%	405:45
2 a.m. to 3 a.m.	4.58%	1,369	2.21%	285:16
3 a.m. to 4 a.m.	3.29%	983	1.92%	248:12
4 a.m. to 5 a.m.	2.41%	722	1.60%	206:05
5 a.m. to 6 a.m.	1.70%	508	1.25%	160:45
6 a.m. to 7 a.m.	2.09%	626	1.40%	180:12
7 a.m. to 8 a.m.	2.05%	614	1.99%	256:10
8 a.m. to 9 a.m.	3.00%	899	3.17%	408:29
9 a.m. to 10 a.m.	3.53%	1,056	3.70%	476:54
10 a.m. to 11 a.m.	4.15%	1,243	3.96%	510:35
11 a.m. to 12 p.m.	4.15%	1,243	4.23%	545:42
12 p.m. to 1 p.m.	3.95%	1,182	4.54%	585:43
1 p.m. to 2 p.m.	4.36%	1,304	5.62%	725:08
2 p.m. to 3 p.m.	4.72%	1,412	6.55%	845:53
3 p.m. to 4 p.m.	6.09%	1,823	7.56%	976:10
4 p.m. to 5 p.m.	5.39%	1,612	6.24%	805:12
5 p.m. to 6 p.m.	4.86%	1,454	5.00%	645:36
6 p.m. to 7 p.m.	4.59%	1,372	6.07%	783:12
7 p.m. to 8 p.m.	4.54%	1,358	5.36%	691:25
8 p.m. to 9 p.m.	4.29%	1,285	5.00%	645:41
9 p.m. to 10 p.m.	4.44%	1,329	5.20%	670:31
10 p.m. to 11 p.m.	6.21%	1,858	5.70%	735:45
11 p.m. to 12 a.m.	<u>5.24%</u>	<u>1,568</u>	<u>5.69%</u>	<u>734:51</u>
	100.00%	29,921	100.00%	12,904:30

Figure 3



It is instructive to review workload at each hour within the 24-hour period to see where peaks may suggest overlapping the two working shifts. Figure 3 reveals peaks between 2 p.m. and 2 a.m., with current coverage leaving open 4 p.m. to 8 p.m., and again at 1 a.m. to 2 a.m. Shifting resources within the overlapping shifts should resolve the problem as the increases are small and do not require a large number of officers. In Table 24, the operational labor for each of the hours was divided by 365 to determine the average per hour. While the personnel to staff these hourly increments appears satisfactory for the most part, some shifting of the staffing is suggested as reflected in Table 25.

Time	Current Shift	Average Operational Labor per Hour (Hours)	Potential Overlap Changes
12 a.m. to 1 a.m.	Evening-Night	1:02	X
1 a.m. to 2 a.m.	Night	1:06	X
2 a.m. to 3 a.m.	Night	0:47	
3 a.m. to 4 a.m.	Night	0:40	
4 a.m. to 5 a.m.	Night	0:34	
5 a.m. to 6 a.m.	Night	0:26	
6 a.m. to 7 a.m.	Night	0:29	
7 a.m. to 8 a.m.	Night-Day	0:42	
8 a.m. to 9 a.m.	Day	1:07	
9 a.m. to 10 a.m.	Day	1:18	
10 a.m. to 11 a.m.	Day	1:24	
11 a.m. to 12 p.m.	Day	1:29	
12 p.m. to 1 p.m.	Day	1:36	
1 p.m. to 2 p.m.	Day	1:59	
2 p.m. to 3 p.m.	Day-Evening	2:19	
3 p.m. to 4 p.m.	Day-Evening	2:40	
4 p.m. to 5 p.m.	Day-Evening	2:12	X
5 p.m. to 6 p.m.	Evening	1:46	X
6 p.m. to 7 p.m.	Evening	2:08	X
7 p.m. to 8 p.m.	Evening	1:53	X
8 p.m. to 9 p.m.	Evening	1:46	X
9 p.m. to 10 p.m.	Evening -Night	1:50	X
10 p.m. to 11 p.m.	Evening -Night	2:01	X
11 p.m. to 12 a.m.	Evening -Night	2:00	X

Calculating workload for the three shifts finds calls for service heaviest on evenings with 7,909 hours (including 5,343 hours of overlap), followed by days with 6,135 hours (including 2,627 hours of overlap). Night shift shows the smallest workload with 4,258 hours (including 2,772 hours of overlap). This data closely matches the charted data above for events where the activity increases as the time moves toward evenings and then tapers.

The department should closely monitor workload and adjust shift schedules and overlaps as needed.

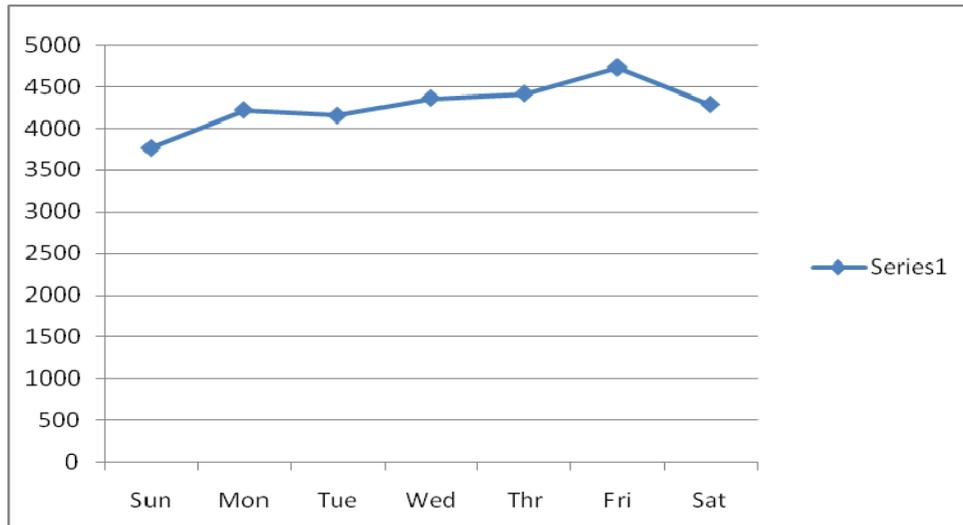
SECTION 10: WORKLOAD - DAY OF WEEK DISTRIBUTION

Table 26 displays the distribution of workload by day of week. Activities are relatively stable throughout the week ranging from an average of 72 on Sundays (12.58%) to an average of 91 on Fridays (15.79%), an average difference of less than one activity per hour by day of week. Variations in demand are sufficiently modest to not require special staffing by day of week.

Most increase in call loads occurs during the Thursday through Saturday period, with the peak on Friday night. Special attention should be paid to limiting leave or making additional staff available during weekend nights. The department should develop a formal written minimum staffing policy to ensure that a sufficient number of officers are on duty on Friday and Saturdays, when workload peaks, particularly on evening and night shifts.

Table 26			
ACTIVITIES BY DAY OF THE WEEK 2009			
Day	Number of Activities	Percent of Total	Average Incidents Per Day
Sunday	3,763	12.58%	72
Monday	4,219	14.10%	81
Tuesday	4,152	13.88%	80
Wednesday	4,360	14.57%	84
Thursday*	4,416	14.76%	83
Friday	4,726	15.79%	91
Saturday	<u>4,285</u>	<u>14.32%</u>	<u>82</u>
Total	29,921	100.00%	82
*There were 53 Thursdays in 2009.			

Figure 4

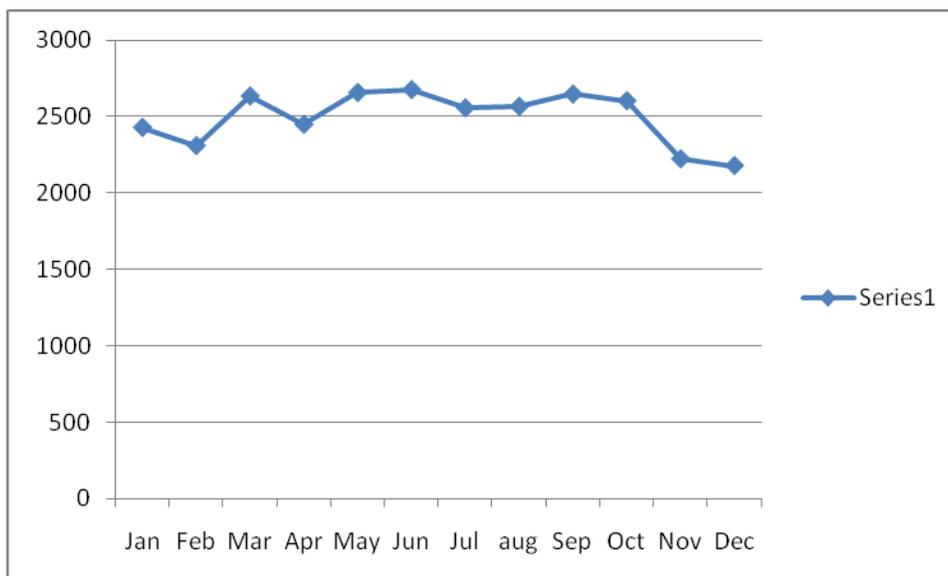


SECTION 11: WORKLOAD - MONTH OF THE YEAR DISTRIBUTION

Communities that are tourist destinations during part of the year or, in the case of Augusta, host legislative activities at the State Capital, may experience activity variation based on the month of the year. Month of the year analysis (Table 27) was conducted to assess whether Augusta Patrol is impacted by seasonality.

Day	Number of Activities	Percent of Total
January	2,438	8.11%
February	2,308	7.71%
March	2,634	8.80%
April	2,448	8.18%
May	2,657	8.88%
June	2,676	8.94%
July	2,556	8.54%
August	2,566	8.58%
September	2,647	8.85%
October	2,603	8.70%
November	2,221	7.42%
December	<u>2,177</u>	<u>7.28%</u>
TOTAL	29,921	100.00%

Figure 5



Analysis found no drastic difference by month. However peaks are seen in March, June, and September. Figure 5 displays the limited differences among the months, showing a spread of 2,177 in December to 2,676 in June. This range parallels the cold part of the winter and a warm part of the summer. The actual spread is 499 events or calls, an average of 1.37 calls per day. This volume does not indicate a need for staffing adjustments by month of the year.

SECTION 12: PATROL SHIFT

The basic principle behind patrol scheduling is that personnel should be deployed where they are needed, when they are needed, and in proportion to workload. APD Patrol currently operates a 10-hour shift on a two week repeating schedule. To cover the 24-hour clock, APD officers are assigned to three shifts in equal numbers.

Shift variation possibilities seem limitless. Most shift variations are based on day off groupings and vary in length of eight, 10, or 12 hours. The effectiveness of a shift for a department is generally a function of two factors, efficiency and employee satisfaction. Efficiency is simply selecting the schedule that assigns the correct number of officers at the times they are needed.

In most situations, schedules that are evenly divisible into 24 are the most efficient. Eight hours are evenly divisible. Ten (10) hours are not. Efficient shifts do not have extended overlap periods where officers from multiple shifts are on duty at the same time. There are situations where schedules which feature overlap periods can be

effective. These situations are unusual. Rarely do overlap periods fully coincide with demand for service. Periods where more officers are available than needed result in unnecessary personnel expenses for a department.

In Augusta some reduction in the operational manpower shortfall could be achieved through use of a 12-hour shift pattern, but impact would be minimal and would be offset by the additional supervisory staff required. The APD 10-hour shift plan provides some added coverage. With adjustments it can better respond to fluctuations than a 12-hour system, such as the previously mentioned split or overlapping shift adjustments between 12:30 a.m. and 4:00 a.m., where workload continues to remain similar to that of the late evening hours. With modest modification in overlapping or flexing of staffing, combined with alternative service delivery that is discussed later in the report, the current shift system can provide adequate and efficient service delivery.

Analysis of the distribution of operational workload by shift shows the heaviest workload on evening shift, followed by day shift, and then night shift. APD currently staffs each shift evenly with seven officers per shift. Availability of two new officers, currently in training, assignment to the day and evening shift, combined with the recommended adjustment of shift overlap periods, should provide adequate coverage.

SECTION 13: EVALUATION

The APD is getting high production from its investment in first responders. In fact, shift officers are somewhat more call-driven than we recommend. Command, two lieutenants, is unnecessarily rich and sergeants have a distinctly uneven call-response pattern and capacity that can be employed to supplant first responder activity when necessary.

Yearly availability of officers (1,691.44 hours) is somewhat lower than normal. Many departments previously surveyed report in the 1,700 range. This is one explanation for average operational workload percentages of 36.34%. The IACP preferred standard is maintaining 30% or less. On the plus side is the fact that administrative activities fall well below the 30% standard, reporting in at 20.93%. While some time can be recouped from this area and essentially "loaned" to the operational workload sector to balance out or mitigate the higher than normal 36.34% level, it is suggested that the department look elsewhere to reduce operational workload. The 4.43 officer increase called for by our methodology reduces to 2.43 when the new hires are taken into account. Workload reduction actions outlined below can offset the need for additional staff entirely. Further, the proactive workload reduction strategy should prepare the city and the APD to weather the impact of further financial fallout for at least the immediate future.

PATROL SCHEDULE

The current patrol schedule provides about 15-18 workdays a month (depends on where officers are in the rotation at the beginning of the month), 10-hour workdays. This schedule is popular with employees. It provides for an extended break between sequential workdays, yet does not lengthen the workday as much as the 12-hour shifts. A number of alternative work schedules were reviewed. Based on review of the current distribution of labor, issues of employee morale, and opportunity for overlap adjustments, we recommend that the current shift and schedule configuration be continued. It is efficient in providing availability of patrol officers within resource limits of the city.

Overall, current deployment of officers by shift probably works as well with observed workload variations as any alternative. A few minor changes should be considered to deploy officers more consistently with workload. These were discussed earlier and are directed at the shift overlap periods that do not seem to match the workload levels. As noted elsewhere, the department should review closely the workload that is being generated during these periods and adjust the shift schedules as needed. A workload analysis similar to that performed by the IACP on 2009 data is suggested for the 2010 data, which was incomplete at the time of the IACP review. Departments should continue to monitor workload in order to determine proper staffing levels for the patrol or first responder function.

With the exception of this overlap issue, the availability of officers appears sufficient for Augusta's needs.

Variations in workload by day of the week are not sufficient to justify deploying officers differentially by day of the week. The department should develop a formal written minimum staffing policy to ensure that a sufficient number of officers are on duty on Friday and Saturdays, when workload peaks, particularly on evening and night shift.

Difference in workload by month of the year is not sufficient to justify seasonal staffing. Special attention should be paid during the spring months of March, May and June, as well as September and October, when workload peaks. While the peaks are not excessive, requests for leave during these periods should receive close scrutiny.

GEOGRAPHICAL DEPLOYMENT.

The current practice of assigning an officer to each district, and multiple officers as available to the more active districts, makes sense. However, the call volume variance by district warrants a review of the beat boundaries to better balance workload demands. Information from officers indicates that the boundaries have not been

reviewed in quite a long time. This suggests that the entire city should be reviewed for currency and changes made as required.

In recommending changes to the district boundaries the department may want to further breakdown the districts into smaller reporting areas, using census tract boundaries as much as possible to facilitate future demographic analysis and adjustments.

Consideration should be given to assigning a primary officer to a district for an extended time period. Community and problem solving policing are important strategies for patrol. Officers should be assigned to a beat for at least a year or longer whenever possible. This permits the officer to know the area, its people, and its unique aspects and develop the relationships intrinsic to community policing.

SECTION 14: MANAGING AND REDUCING WORKLOAD

Working more strategically will enable the APD to balance workload, resources, and solve the modest patrol understaffing problem. Several potential policy/management innovations emerge from our analysis that promise to reduce workload of first responders and intensify productivity.

Retreat from the Full Service Model. An officer is dispatched to almost every citizen call for service. While full service is the best option for satisfying citizens, the practice can legitimately be viewed as a fiscal luxury in some settings, the current APD setting being one. There are suitable and less costly alternatives. Many law enforcement agencies achieve considerable reduction in dispatched patrol workload through alternative responses to minor and report-oriented calls from the public. Departments handle many of their calls by taking reports over the phone and, more and more, via the Internet. When properly organized, citizens find this service as acceptable as dispatching an officer. Incidents that could be handled by a telephone/Internet reporting unit include:

- Damage to Property
- Destruction of Property
- Stolen Autos
- Lost Property
- Gas Drive Offs
- Stolen Bicycles
- Stolen/Lost Tags

- ❑ Injury Reports (except those occurring on public space)
- ❑ Animal Bites
- ❑ Thefts From Auto
- ❑ Hit and Run Accidents (except those with injury or damage to government property).

Crime Analysis and Problem Solving. Problem solving seeks, among other goals, to eliminate causes of offending and disorder that demand repeated response, usually to a “same address.” This report calls for creating an “Analytics” capacity to outfit the APD to engage in problem solving. An excellent resource for understanding the potential of problem solving is the ever-growing series of Problem Oriented Policing guides prepared by the Department of Justice Office of Community Oriented Policing Services, www.cops.usdoj.gov.

Crime Prevention. Strategy number one to reduce crime-control workload is prevention. A casualty of the full service model, crime prevention focus has atrophied in the APD. Low-cost prevention options are available. Consider the following examples. In 2009 just over 900 theft calls were recorded. Many losses are marginal and citizens seek only a crime report for insurance purposes. Theft reduction can normally be achieved if citizens and business owners are more vigilant and, in the case of businesses, security investments are made. Education campaigns are often somewhat successful.

CPTED concepts (Crime Prevention Through Environmental Design) are effective. While development activity is modest in Augusta, CPTED concepts can be employed during redevelopment planning. We suggest contacting the National Crime Prevention Council (NCPC) for CPTED guidance.

VIPS. Departments assign no-cost citizen volunteers to everything from limited traffic control duties, to vacant building checks, to monitoring locations of registered sex offenders. They are found working in positions throughout the department such as staffing headquarters walk-in desks, handling requests for police reports, to fingerprinting citizens on request. The list is almost endless. Each position filled to some degree by a volunteer reduces staff costs to the department. At the same time, many of these volunteers perform duties that otherwise would need to be assigned to the patrol officer, thus freeing them up for more appropriate duties. Comprehensive information on starting and maintaining a volunteer augmentation program within the Augusta Police Department is available from the IACP’s Volunteers in Police Service website, www.policevolunteers.org.

Productivity Options. Study of the APD surfaced a number of opportunities that can be exploited to reduce Patrol workload and/or leverage unused capacity for patrol purposes.

- ❑ **Reduce False Alarm Calls.** Using either registration escalation costs or penalties, encourage citizens’ self-control of alarms to reduce false alarm rates. Ensure that stricter enforcement results. Burglar alarms account for over 1,185 events and 300 work hours of effort by patrol officers, averaging 15 minutes plus per call. That rate works out to about 3.24 alarms per 24 hour day.

- ❑ **Refocus PEO Activities.** The yield of PEOs is very questionable. We have recommended that their activities be redirected to help with telephone/social media offense reporting and to serve as Community Service Officers. CSOs would handle non-dangerous activities now handled by first responders.

- ❑ **Eliminate/Modify Call Response.** The city and the APD must be prepared to refuse certain calls/services now provided. Possible candidates are: unlocking cars (unless potential for danger exists); property damage accidents when both vehicles can be driven from the scene (just issue self-report forms and clear roadway); take telephone harassment calls through the Telephone Reporting Unit. Consider the recommendations of the workforce regarding unproductive activities.

- ❑ **Tap Into Command Capacity.** Average call load for lieutenants and sergeants in 2009 (assigned as first responders) was:

<u>Unit Patrol</u>	<u>Calls</u>	<u>Calls per 10-hour Day Worked</u>
LT Days	135	0.80
LT Evenings/Night	<u>470</u>	2.78
	605	
SGT Night	229	1.36
SGT Night	648	3.83
SGT Day	241	1.43
SGT Evening	705	4.17
SGT Evening	<u>588</u>	3.48
	2,411	

These data suggest that commanders and supervisors could take additional assignments in a number of instances.

- ❑ **Follow-Up Investigations.** Analytically-based solvability diagnostics are not a hallmark of follow-up selections in CID or Patrol. Reversing this condition with a concomitant decrease in number of follow-ups and/or methods of follow-up should help with workload reductions.

SECTION 15: APPROACHING THE GOAL

To achieve workload reduction in an informed way, minimizing adverse public and council reaction and retaining all elements of officer safety relies on a process that pools the best minds and experience in the APD and city government, is data-based when possible, and is at least systematic.

Table 28 has been constructed to display one approach, outlining an estimate of 3,070 hours of possible recovered workload, based on a sampling of APD events, equivalent to 1.8 officers.

SECTION 16: RECOMMENDATIONS

To strengthen patrol staffing and deployment, the following actions should be taken:

Establish and maintain a Patrol (Community Services) complement of 31:

❑	Lieutenant	1
❑	Senior Sergeants	3
❑	Sergeants	3
❑	Officers	23
❑	ACO	<u>1</u>
		31

PEOs/CSOs may be used in Community Services and/or Information Support Services.

The APD should also:

1. **Depart from the current full service model.**
2. **Introduce problem-solving strategies.**
3. **Refocus on crime prevention.**

Activity Code	Activity	Current Hours	Potential Recovery %	Recovered Hours	Strategy
PE	Parking enforcement	30	100	30	More aggressive PE Unit; holding of calls; better scheduling of PE Unit
PKG	Parking Patrol	24	50%	12	S/A
Subtotal		54		42	
FOLP	Follow Up Investigations	857	60%	514.2	Increase workload for detectives; reassign detectives to Patrol; revise case acceptance policy by detectives
Subtotal		911		556.2	
DIST	Disturbances	942	25%	235.5	Filed supervisory control of responding units and length of time on the scene
DISORD	Disorderly Conduct	499	20%	99.5	S/A
MVST	MV Stop	534	50%	133.5	S/A
Subtotal		2,886		1,024.7	
TRC	Traffic Complaints	362	60%	217.2	Use of volunteers and/or civilian staff, as well as Telephone Reporting Units (TRU) operations
ASSC	Assist a Citizen	583	50%	291.5	TRU combined with volunteers and civilian staff
CHKB	Building Checks	284	60%	170.4	Use of volunteers and/or civilian staff
CKWL	Check Welfare of a Person	298	50%	149	S/A
Subtotal		4,115		1,852.8	
HAR	Harassment	212	50%	106	TRU combined with volunteer follow up staff
PHON	Phone Harassment	130.5	50%	65.25	S/A
Subtotal		4,457.5		2,024.1	
ALM	Alarm Burglary	301	50%	150.5	More aggressive false alarm ordinance and follow-up with penalty fees.
THFT	Theft by Unauthorized Taking	442	50%	221	Owner education to prevent theft of autos; aggressive crime prevention effort based upon statistics.
Subtotal		5,200.5		2,395.6	

Table 28					
SERVICE DELIVERY OPTIONS DIAGNOSTIC (Model)					
Activity Code	Activity	Current Hours	Potential Recovery %	Recovered Hours	Strategy
MVAP	Property Damage NV Accident	577	60%	526.2	No longer investigate PD NV accidents where both vehicle may be driven from the scene; issue self report paperwork only and clear the roadway.
Subtotal		5,777.5		2,921.8	
DA	Dog Bite	12	80%	9.6	TRU or volunteers
DB	Dog Barking	17	50%	8.5	TRU; volunteer telephone contact with owner
DL	Dog at large	122	50%	61	Follow up by Animal Control
AA	Animal-Agricultural	2	50%	1	Same as DL
AC	Animal-Cat	26	75%	19.5	Same as DL
ACW	Animal-Check welfare	3	95%	2.85	Same as DL
ANM	Animal Complaint	33	75%	24.75	Same as DL
WA	Wild Animal	27	80%	21.6	State should handle
TOTALS		6,007.5		3,070.6	

Note: Subtotals are cumulative and rounded up.

4. **Consider flexing of shift staffing to adjust overlap to match workload and activity.**

Would align officers more closely to actual workload demand and potentially increase officer safety.

5. **Establish a telephone reporting unit and/or Internet-based reporting for certain events, to leverage non-patrol response to those calls for service appropriate for such activity, e.g., where a sworn officer is not needed.**

Would recover more patrol officer generated workload than what is used to currently exceed the operational workload standard of 30%, while improving service delivery and cost effectiveness.

6. **Establish a volunteer program to support delivery of policing services where there is no requirement for a sworn officer response.**

A volunteer program would increase citizen-department engagement while saving staffing costs. Information concerning the Volunteers in Police Service (VIPS) program can be obtained from the IACP or directly from IACP's website, <http://www.policivolunteers.org>.

7. **Increase the focus of supervisory personnel in monitoring initial response of multiple units and the length of time needed to complete initial investigation and reporting of events.**

Review command and control operations for multiple unit response to disorderly and disturbance calls to reduce unneeded response as well as ensure rapid return to service of units that no longer are needed for safety or scene control. During 2009, officers used approximately 1,441 hours to handle these calls. Include in the police response mediation or community intervention to facilitate this goal.

8. **Develop a written minimum staffing policy.**

This policy should also address maintenance of acceptable staff levels on weekend evenings and during the more active months of the year.

9. **Continue to address false alarm calls.**

In fact, an even more aggressive approach could lead to a further modest decrease in workload for officers.

10. **Assign at least one officer to each district for an extended period of time, especially if the department moves toward a more problem solving or community policing proactive posture.**

One- to two-year assignments should be the minimum time frame. This will permit officers to develop the community relationships needed to sustain community policing.

11. **Review current follow-up investigations by patrol officers as opposed to being handled by the detective units, which appear to be underutilized from a caseload standpoint. Increased use of civilian or volunteer staff, for routine follow-up, should also be explored.**

The IACP will forward sample Telephone Crime Reporting Unit policies from other jurisdictions.

CHAPTER VII. CRIMINAL INVESTIGATIONS

Criminal investigations is a shared function in the APD. Patrol officers conduct preliminary and follow-up investigations. The CID conducts follow-ups.

A series of directives (SOPs) govern the investigations function. Chapter 2, Organization, establishes responsibilities:

The Criminal Investigation Division is responsible for the investigation of all major criminal activity and shall assist the Patrol Division in conducting lengthy follow up investigations. The Officers assigned to this Division whose primary responsibilities entail conducting criminal investigations shall be designated Detectives and shall assist the Patrol Division in the apprehension of perpetrators and in recovering stolen property.

General Order 04-45, Criminal Investigation Division Services, sets forth responsibilities of detectives, crimes/incidents directed to the CID, and crime scene security. General Order 03-40, Death Investigation, and General Order 01-25, Investigation of Internet and Computer Crimes also direct the investigations function.

SECTION 1: GOALS AND OBJECTIVES

The job of a detective is described in G.O. 04-45:

A detective of the Augusta Police Department's Criminal Investigation Division is responsible for investigating any and all cases assigned to him/her by the CID Commander, conduct surveillance, attend and instruct training, attend meetings, prepare and execute search and arrest warrants, process crime scenes, including fingerprinting and photographing. Detectives must be capable and willing to use the Department computer system to access information and write reports, and chase suspects on foot, if necessary.

Measureable goals and objectives have not been defined for the Division or for the detectives. Clearing cases, assisting in effective prosecution, and quality trial work – industry-wide objectives, are implicit and evident. Investigations goals and objectives are not set for Patrol either.

SECTION 2: ORGANIZATION AND STAFFING

The Criminal Investigations Division is commanded by a Lieutenant, a direct report to the Deputy Chief. The Lieutenant supervises one sergeant; four detectives; and one secretary. Total staffing is seven.

The commander, in addition to division management, investigates criminal cases and conducts internal affairs investigations. The sergeant serves as immediate supervisor to the four detectives. This entails case assignments, case progress reviews, on-the-job case-based instruction, closure decisions, and supervising case preparation for the prosecutorial process. The sergeant carries a small caseload, 16 in 2009 (10 months), an average of 1.6 per month. He conducts background investigations on APD job candidates, 22 in 2010. The sergeant prepares workload report, weekly, to monitor detective activity and case progress.

Detectives are generalists, who work all types of cases. Simultaneously, some specialization occurs to leverage interests and skills of the individual investigators. One investigator assumes a larger share of sexual assaults and family and youth crimes. Another receives the computer crimes cases and works with the State Police computer crimes task force. One detective, a narcotics specialist, concentrates on Augusta-based cases. He works with the regional drug task force of the Maine Drug Enforcement Agency (MDEA).

G.O. 04-45 sets “normal work hours” at 7:30 a.m. – 4:00 p.m., Monday through Thursday, and 8:00 a.m. – 4:00 p.m. hours on Friday. Detectives must flex hours when investigations require and remain on-call at all times.

The secretary has a wide-range of support and administrative responsibilities including: crime reporting (NIBRS); warrant management (NESPIN); the department alarm program; and crime bulletin preparation.

SECTION 3: WORKLOAD

In 2009 recorded CID follow-up investigations numbered 277, an average of 23 per month. An investigation can range from several hours to days (case time, not calendar time). An accurate estimate of time per APD case is not readily available. Twenty-nine (29) cases, 10% of the 2009 total, were “Referred,” documented in the CID case log as either occurring in another jurisdiction or forwarded to another agency. These normally consume a lower-end investment of time. Assaults and child abuse cases, alternatively, consume higher-end investments.

A range of case-related proactive (criminal intelligence) activities are identifiable and “somewhat quantifiable” such as weekly trips to Portland and Lewiston to examine pawned-property databases (at least four hours per trip); transportation of evidence to the State Police crime lab (several times per weeks). Support and administrative work includes grant writing, grant management and reporting; and equipment maintenance.

CAD data places the number of Patrol Follow-Up Investigations (2009) at 1,895 and expenditure of 857.5 hours. This category appears to include traditional follow-ups, structurally like those conducted by CID detectives and call-back efforts (on individual offense incidents) resulting in supplementary reports. We cannot itemize the number of events in each subcategory. Events average 27 minutes each (travel time and time on scene).

Detective Caseloads. Distribution of cases among the investigators is documented in Table 29. Caseload ranges from 1.6 to 7.75. The data include averages for two investigators who served less than one year in CID. Average caseload, including the sergeant and excluding the Lieutenant was 4.6 cases per month. Excluding the sergeant, the caseload for five full-time investigators was 5.2 cases per month.

Two crime types account for 30% of all CID follow-ups, burglary and assault. Sex Crimes (GSA and USC) account for 12%. Of 54 offenses documented (a number are related by offense class), the overwhelming number are investigated very infrequently.

SECTION 4: PRACTICES

Patrol officers respond to calls and prepare initial reports. Each report is reviewed by a Patrol supervisor for approval. This is done through the RMS. Once approved, a Patrol supervisor sends the case to CID for assignment to a detective or assigns it to a patrol officer for follow-up. Patrol has its own case management module in the RMS. CID has a case management module as well. The decision is based on seriousness and complexity of the case and requirement for extensive follow-up. Availability of a patrol officer (days off, vacation) is also a factor. This is all at the discretion of the Patrol Lieutenant or sergeant who reviews a report. There may be serious crimes where the detectives respond immediately. Patrol sergeants monitor progress of cases assigned to their officers through the IMC patrol case management module.

In CID, cases are reviewed by the sergeant and Lieutenant and assigned, considering detective caseload, availability, and skills. Assignments are recorded in the RMS module and a logbook. CID conducts weekly case progress meetings, previously a

Table 29							
CASELOAD AND DISPOSITIONS 2009 (BY INVESTIGATOR)							
Count of Offense	Case Status				Referred ⁽¹⁾	Total	Average per Month
	Cleared	Suspended	Unfounded	Open			
Investigator A	37	19	2		2	51	4.25
Arson/Fire	3	1				4	
Assault			1			1	
Assist Agency	2					2	
Burglary	6	2				8	
Explosives		1				1	
Forgery/Counterfeiting	1					1	
Found Property		1				1	
Fraud					1	1	
GSA	1					1	
Harassment	1					1	
Identity Theft		1				1	
Juvenile	2					2	
MV Theft		1				1	
Robbery	4					4	
Sex Abuse			1			1	
Theft	12	3				15	
Theft by Deception	1					1	
Trafficking	1					1	
Unattended Death	2					2	
Unlawful Sexual Touching	1					1	
USC					1	1	
Investigator B	10	2	2		2	16	1.6 (10 mo avg.)
Arson/Fire	2					2	
Assault					1	1	

Table 29							
CASELOAD AND DISPOSITIONS 2009 (BY INVESTIGATOR)							
Count of Offense	Case Status					Total	Average per Month
	Cleared	Suspended	Unfounded	Open	Referred ⁽¹⁾		
Investigator B (continued)							
Burglary	3	1				4	
Drug Violation			1			1	
Endangering Child	1					1	
GSA	1		1			2	
Theft	2					2	
Trafficking		1				1	
Weapons Violation	1				1	2	
Investigator C	31	23	4	1	20	79	6.6 (12 mo avg.)
Aggravated Assault	1					1	
Aggravated Forgery					2	2	
Arson/Fire	1	1				2	
Assault			1			1	
Assist Agency	1					1	
Assist Agency - MDEA	1				1	2	
Burglary	10	11		1		22	
Computer Fraud		1				1	
Criminal Mischief	1					1	
Drug Violation		2				2	
Extortion	1					1	
Forgery/Counterfeiting	1	1			3	5	
Fraud	1		1		11	13	
Fugitive Justice	1					1	
GSA	3		1			4	
Identity Theft					1	1	
Invasion Comp Priv	1		1			2	

Table 29							
CASELOAD AND DISPOSITIONS 2009							
(BY INVESTIGATOR)							
Count of Offense	Case Status					Total	Average per Month
	Cleared	Suspended	Unfounded	Open	Referred ⁽¹⁾		
Investigator C (continued)							
Online Enticement	1					1	
Robbery	2					2	
Terrorizing		3				3	
Theft	1	2				3	
Theft by Deception	2				1	3	
Trafficking		2				2	
USC	2				1	3	
Investigator D	57	20	12	1	3	93	7.75
Aggravated Assault	2					2	
Amputation	1					1	
Assault	24	3	3			30	
Assault - Threats	2		1			3	
Assist Agency	1					1	
Burglary	2	5				7	
Child Abuse		1	1			2	
Criminal Mischief		3				3	
Criminal Threat		1				1	
Elder Abuse				1		1	
Forgery/Counterfeiting					1	1	
GSA	11	2	1		1	15	
Harassment		1				1	
Infant Death					1	1	
Juvenile			1			1	
Robbery			1			1	
Sex Abuse of Minor	1	1				2	

Table 29							
CASELOAD AND DISPOSITIONS 2009							
(BY INVESTIGATOR)							
Count of Offense	Case Status					Total	Average per Month
	Cleared	Suspended	Unfounded	Open	Referred ⁽¹⁾		
Investigator D (continued)							
Sexual Offender Check			1			1	
Sex Offense	1		1			2	
Stalking			1			1	
Suicide	2					2	
Terrorizing		1				1	
Theft		1				1	
Unlawful Sexual Touching	2		1			3	
USC	6	1				7	
USC-GSA	1					1	
Warrant Arrest	1					1	
Investigator E	12	5	1		1	19	4.75 (4 mo avg.)
Assist Agency	1					1	
Burglary	6	2				8	
Child Abuse	1					1	
Endangering Child			1			1	
Found Property	1					1	
Misuse Credit Card	1					1	
Robbery		1				1	
Stealing Drugs	1	1				2	
Trafficking		1			1	2	
Unlawful Possession	1					1	
Investigator F	15	3			1	19	2.7 (7 mo avg.)
Aggravated Assault	2					2	
Arson/Fire	1					1	
Assist Agency	2					2	

Table 29

CASELOAD AND DISPOSITIONS 2009
(BY INVESTIGATOR)

Count of Offense	Case Status					Total	Average per Month
	Cleared	Suspended	Unfounded	Open	Referred ⁽¹⁾		
Investigator F (continued)							
Assist Agency - MDEA	4					4	
Criminal Use Explosives		1				1	
Criminal Mischief		1				1	
Drug Violation	1					1	
Possession	1					1	
Stolen Firearm	1					1	
Theft		1				1	
Trafficking	2				1	3	
Violation - Bail	1					1	
TOTALS	162	63	21	2	29	277	

⁽¹⁾ Referred cases are those noted in the case log as either occurring in another jurisdiction or forwarded to another agency

collective “all-hands” situation, as opposed to one-on-ones, supervisor-detective. The CID secretary also reviews cases as part of her ongoing duties.

Patrol officers conduct some limited crime scene evidence work on the cases they handle. They have a very basic crime scene kit. They take photos and collect items that may contain prints or DNA. If they feel that more needs to be done they call a detective to the scene. The CID sergeant reports that this is a regular occurrence. On larger scenes or serious crimes, detectives process the scene. On rape cases, the detectives rely on Sexual Assault Nurse Examiners (SANE) at the hospital to collect physical evidence.

The APD possesses an assortment of forensic equipment. As far as processing in their “crime laboratory,” detectives place more emphasis on swabbing items for DNA rather than fingerprint evidence (they still look for prints). They try to identify items of evidence that could give them the best DNA samples. They swab the items and take the swabs to the state laboratory where they are run through the CODIS database. If they have a good suspect, they get a court order for a sample and request the lab to make a DNA comparison. Reportedly, they have had some success when they have a suspect but have also had several “cold” hits.

When collecting evidence at crime scenes, detectives complete appropriate forms and generate reports for each collection and evidence item processed. No evidentiary items remain in the processing area. Once testing and processing is completed, items are either returned to or entered in the evidence containment area (under the control of the Records Officer). Photography and video evidence collection are employed in the form of 35mm and digital formats. There is discussion that the Augusta Police Department receiving an automatic fingerprinting identification system (AFIS) to transfer latent prints electronically while codifying and adhering to sound forensic practices.

Detectives use the New England State Police Information Network (NESPIN) routinely to facilitate investigative work. NESPIN is a component of the national Regional Information Sharing System (RISS). They are also connected to several other Maine law enforcement agencies through the RMS. There are 15 to 18 agencies in Maine that use the IMC RMS system. They cannot access reports of the other agencies but can check their master name indexes to get leads. Some of the agencies that are connected are the Kennebec County Sheriff’s Office, the Somerset County Sheriff’s Office, and the Waterville, Hallowell, Fairfield, and Oakland police departments. The Maine State Police have a fusion center in Augusta. It is not available to the APD by computer but is by telephone. It is not frequently used. Reportedly, it is not available by computer because of access restrictions placed by the many contributors of data.

The sergeant personally oversees informant practices by detectives. Most informants are used on drug cases and are, therefore, supervised and managed by MDEA.

There is a pawned property module in the RMS. There is one pawnshop in Augusta. Every Monday detectives collect pawn slips from the preceding week. They put the information into their system for comparison to reported stolen property and they also transfer the data into NESPIN.

Detectives prepare their own paperwork related to arrests. The secretary helps put it all together and then a detective takes it to the District Attorney's office. Sometimes they just drop it off and sometimes the case requires an immediate meeting with the DA's office. Meetings between the detectives and the DA's office are routine.

Patrol officers prepare their own paperwork related to arrests. They assemble copies of the offense report, arrest report, probable cause affidavit, summons, and witness statements. These documents are forwarded to the Records Officer, who reviews them and then takes them to the DA's office.

A case cannot be "closed" or "suspended" without supervisory approval. "Closed" means that an arrest was made and the case has gone through the judicial system. "Suspended" means there are no more leads and no further action will be taken unless additional information surfaces. In practice, the patrol officer or detective submits a supplemental report stating the reasons why a case should be closed or suspended. The Patrol supervisor makes the approval decision for those assigned to a patrol officer and a CID supervisor makes the approval decision for those assigned to a detective. The approval decision is recorded in the RMS case management system.

Patrol officers do not routinely get back to crime victims after cases are suspended, especially if a case is a property crime where there are no suspects or leads. Detectives usually get back to victims because the cases they handle are more serious and/or involve a greater financial loss.

SECTION 5: TRAINING

All officers receive 51 hours of investigations training at the academy:

<u>Subject</u>	<u>Hours</u>
<input type="checkbox"/> Principles of Investigation	2
<input type="checkbox"/> Case Preparation	2
<input type="checkbox"/> Identification of Suspects	2
<input type="checkbox"/> Handling Physical Evidence	4
<input type="checkbox"/> Securing and Processing the Crime Scene	7
<input type="checkbox"/> Motor Vehicle Thefts	2
<input type="checkbox"/> Informants	3

<input type="checkbox"/>	Surveillance	3
<input type="checkbox"/>	Identification and Handling Drugs	4
<input type="checkbox"/>	Injury and Death Cases	4
<input type="checkbox"/>	Child Abuse	3
<input type="checkbox"/>	Workplace Violence	2
<input type="checkbox"/>	Gangs and Associated Activity	3
<input type="checkbox"/>	Domestic Abuse	10

Investigations supervisors in both CID and Patrol have logged in-service training hours:

<input type="checkbox"/>	CID Lieutenant	106
<input type="checkbox"/>	CID Sergeant	159
<input type="checkbox"/>	Patrol Lieutenants	11,174

Records of four detectives reflect the following amounts of in-service investigations training during the four-year period 2006-2009:

<input type="checkbox"/>	Detective One:	57.5 hours
<input type="checkbox"/>	Detective Two:	96.5 hours
<input type="checkbox"/>	Detective Three:	175.5 hours
<input type="checkbox"/>	Detective Four:	80.0 hours

(Data are approximations, based solely on our interpretation of course titles.)

Training records show that 11 of 28 patrol officers have some in-service training in one or more of the following areas: interview and interrogation; investigations; crime scene management. Courses include OUI investigation, investigation of sexual assault, investigation of non-stranger rape, interview and interrogation, child sex assault investigation, basic fire investigations, indoor grow investigations, crime scene management, sex abuse investigation, and crime scene processing. Seventeen (17) officers, many but not all of whom conduct investigations, do not appear to have in-service investigations training.

Crime Scene Investigations. Detectives have modest amounts of in-service crime scene training. During a three-year period, 2006-2009, one detective had a 40-hour course (we presume a full "basic"), one had a 24-hour crime scene management course, and one a two-hour evidence collection experience. All had a .75 hour, online mandatory (2009) titled On the Scene of Sexual Assault. The investigator who specializes in investigation of sex offenses has completed 30 hours of relevant course work. The training record of another investigator documents completion of an advanced victims assistance course.

SECTION 6: EVALUATION

The APD investigations model, principally the distribution of authority, is somewhat unorthodox. The gatekeepers are the Patrol sergeants, six of them, and two Patrol lieutenants. In most agencies distribution of/authority over cases resides in CID. Still, by the primary effectiveness measure, clearances/closures, the system seems to be working well. The APD reports higher than average clearance rates. (We have not conducted a clearance audit.)

A number of positives characterize the investigations function. While we are not certain what the Patrol follow-up portfolio contains, CID does seem to be getting the more demanding cases. The MDEA is being relied upon heavily as a regional partner and appears to be siphoning off caseload. Supervisors and CID detectives are being controlled in relevant training. We question whether a significant proportion of first responders are receiving investigations training in sufficient amount.

The most salient action/finding to emerge from analysis is the presence of excess capacity in CID. Unless metrics exist which have not been brought to our attention, there is no conclusion to draw other than caseloads are not heavy, just under five on average. While standards do not exist for investigations that are quantitatively comparable to those that exist for Patrol, an average of 10 per month is not unusual. In reaching this conclusion we have remained mindful that quality is being achieved – favorable clearance rates (some credit attributable to Patrol). Factor in also that CID has a command/supervisory ratio of 2 (sergeant, lieutenant) to 5 (detectives, secretary) or 1:2.5.

This is, in fact, a fortunate circumstance. The APD can benefit from workload redistribution – shifting some follow-ups from Patrol to CID to alleviate the operational labor call load. The CID should consider ramping-up its intelligence function, greater integration with the fusion center, for example. A SARS (Suspicious Activity Reporting System) capacity is recommended for Patrol and CID. Last, backfilling the void left by the vacated Juvenile Officer/Crime Prevention position is priority in our view.

SECTION 7: RECOMMENDATIONS

To strengthen the investigations function, the following actions are recommended:

- 1. Broaden the responsibilities of the CID by increasing the number of follow-ups conducted, ramping up intelligence activities/capacities, and concentrating more effort on juvenile matters.**

2. **Introduce a patrol-based, and CID-engaged, SARS capacity.**
3. **Ensure that all first responders who conduct follow-ups are adequately trained.**

CHAPTER VIII. JUVENILE SERVICES

The SOPs do not include a General Order devoted to juvenile policy nor many references to juveniles within the body of a sample of pertinent orders, such as those that cover arrest, sexual assault, intervention, or the duties of CID.

SECTION 1: CURRENT PRACTICE

The APD Organization Chart shows a Juvenile/Crime Prevention Officer position which has been vacant since 2006. It is reported that the combination of fiscal pressure and competing organizational demands forced APD leadership to vacate the position. The primary functions performed by the Juvenile/Crime Prevention Officer have atrophied to the point that they are practiced infrequently.

Formerly, first time juvenile offenders charged with less serious crimes such as vandalism, shoplifting, or joyriding would be counseled and often released, with conditions. Community service, parent-supervised regimens, or mentoring arrangements were common. The goal was to keep juveniles free of formal entry into the juvenile justice system. More serious offenders were remanded to the Juvenile Court, where they might or might not have the opportunity to avoid formal sanctions.

Crime prevention activities included Neighborhood Watch programming and liaison, a Civilian Police Academy, and neighborhood-focused problem solving. DARE programs and SRO arrangements, common crime prevention strategies, were not part of the portfolio.

Today, the most common juvenile-handling response is referred to the Juvenile Court. These decisions are made by patrol officers. Crime prevention activities occur only reactively.

SECTION 2: TRAINING

Sworn officers receive four hours of Academy training, "Maine Juvenile Law and Youth Services." This is part of the Legal Issues training block. Our best effort to isolate in-service training experience suggests that about 20 officers received a brief amount of training, each year from 2000 through 2004. There has been little since.

□ **2000: Juvenile Services Training, Two Credits (hours not listed)**

- Sergeants 6
- Officers 7
- Lieutenants 4
- Detectives 2

TOTAL 19

□ **2003: Juvenile Law Training, Two Credits (hours not listed)**

- Sergeants 5
- Officers 8
- Lieutenants 4
- Detectives 3

TOTAL 20

□ **2004: Juvenile Law Training, Two Hours**

- Sergeants 6
- Officers 7
- Lieutenants 4
- Detectives 3

TOTAL 20

□ **2005: EFF School Policing Training**

- Officer 1 (credits/hours unknown)

□ **2010: Child Development Training, Two Hours Online**

- Detective 1

SECTION 3: EVALUATION

In Chapter I it was noted that school enrollment in Augusta totaled 2,300 (2,291), about 12% of Augusta's resident population. Enrollment, our surrogate for the youth population, is trending downward, very marginally.

Juvenile arrests, the only quantitative measure of juvenile offending/victimization readily available, numbered 55 in 2009, the fewest during the 2005-2009 period. Violent crime arrests totaled 37, mainly simple assaults, and property crimes arrests totaled 85, mainly theft. Drug abuse and liquor laws violations (arrests) totaled 28.

Early police intervention with youth (compared to non-intervention/arrest) is favored by the IACP project staff. The independent evidence available suggests that early intervention is more cost effective, dollar, social, and individual costs. The program strategy administered by the APD prior to 2006 is one we value. Recognizing that available data are not cause for alarm, we still recommend restoring a focus on juveniles. Taking the same fiscally-driven approach as we did with IT/crime analysis, a recommendation to refill the vacated position is not being put forth at this time. This should be a priority for the future. We do recommend that first responders who should become less call-driven and CID investigators be directed and empowered to “station-house adjust” as the preferred policy used to be called.

The APD must reemphasize youth services as a priority. Field officers, Patrol and detectives, are the key players in youth services. By virtue of number and nature of contacts, they, especially patrol officers, are the “gatekeepers.” It must also intensify training. Data indicates that officers who joined the agency beginning in 2005 have not had material youth-focused in-service training. Four hours of academy training, years ago, constitutes the body of formal training.

Finally, discussions suggest that APD-school district collaboration is not what it can be. The potentials of an SRO have never been realized.

SECTION 4: RECOMMENDATIONS

To service the city’s youth population more effectively, the APD should take the following actions.

1. **Craft a general order to govern youth operations.**

The directive should set forth the agency philosophy, goals, and import procedural requirements. It is assumed that the philosophy will prioritize the values of effective early intervention and reflect the approaches valued earlier (2006 and before), updated with evidence-based contemporary best practices.

2. **Train/retrain the entire sworn workforce, emphasizing the agency philosophy/approach and operating practices of greatest relevance.**

Communications officers (dispatchers) should be trained as well.

3. **Partner with the school district professionals to fashion strategies to serve youth and, if possible, reduce emergency and non-emergency police responses.**

CHAPTER IX. COMMUNICATIONS AND RECORDS

The APD communications center is responsible for answering requests for police, fire, and rescue services in the city of Augusta. The APD dispatches for the town of Hallowell police and fire departments, through a user agreement. Emergency Augusta Water District calls are taken during non-duty hours. Capitol Police use the APD server for CAD software but have their own call center. The recently issued General Order 10-02 includes the dispatcher's job description, duties of communications personnel, and documents radio policies/procedures. (G.O. Effective Date: 11-4-10.)

SECTION 1: ORGANIZATION AND STAFFING

The Communications Center is in the Communications Division. The division commander, a lieutenant, directly supervises the communications staff. The unit is staffed with eight full-time staff members. Turnover was high in 2010 with three resignations/retirements. The remaining staff members, all titled dispatcher, are long-term employees with five or more years of service.

Dispatchers are assigned to one of three shifts: Day Shift - 6:30 a.m. to 3:30 p.m.; Evening Shift - 3:00 p.m. to midnight; Night Shift - 10:00 p.m. to 7:00 a.m. According to Article 14 of the dispatcher union contract, each six-week cycle consists of four 45-hour work weeks and two 36-hour work weeks. For time worked beyond, dispatchers are compensated at a rate of time and a half. Each dispatcher receives one 30 minute meal break and two 15 minute coffee breaks.

Three dispatchers are assigned to Day Shift, three to Evening Shift, and two to Night Shift. Dispatchers work a four on/two off schedule, which allows for two dispatchers on duty 24 hours a day, most days. Exceptions occur two to three days per week when a single dispatcher is on duty during the Night Shift.

SECTION 2: WORKLOAD

Calls for service have been fairly stable and are expected to remain so. (Table 30.) The center handled 49,828 calls for police and fire in 2009. Workload varies by hour of the day. Staff estimates 20 to 30 calls are received per hour (average) with peak call times between 2 p.m. and 6 p.m. Radio calls account for another 20 to 30 calls. Actual workload data by source and by hour was not immediately available.

Table 30					
CALLS FOR SERVICE 2005 - 2009					
	2005	2006	2007	2008	2009
Officer-Initiated	22,879	24,803	17,688	20,670	22,374
Dispatched Calls	<u>27,604</u>	<u>27,845</u>	<u>28,430</u>	<u>27,926</u>	<u>27,454</u>
Total	50,483	52,648	46,118	48,596	49,828

SECTION 3: PROCEDURES

The Somerset County Communications Center serves as the public safety answering point (PSAP) for the city of Augusta. All landline 911 calls are answered by Somerset County and transferred to the APD call center. Cell phone 911 calls go to the state PSAP and are transferred to Augusta.

Communications staff members serve simultaneously as call takers and dispatchers, monitoring both the phone and radio. Calls are answered by the first available dispatcher. Information is gathered and entered into the computer aided dispatch system (CAD). The system automatically fills in the call taker, date, and time information. Dispatchers enter sources of calls (radio, telephone, walk-in) manually as well as call reason (selected from a dropdown list), location, caller information, and narrative. When a call reason is selected, a priority code of 1, 2, or 3 is assigned automatically. Dispatchers have the ability to override the system and upgrade or downgrade priority based on situational conditions.

Dispatchers working the evening and night shifts also handle front desk walk-in inquiries when Records Clerks are not working.

The city is divided into four police districts. Calls are dispatched to designated district officers based on the location information. If a district officer is not available, dispatchers and Patrol supervisors have the discretion to reassign calls to available units.

CAD does not prompt for backup based on call type or reason. Supervisors and on-scene officers can request backup. There is no written policy outlining backup procedures. Two units are generally sent for alarm calls. Multiple units may be sent to other call types at dispatcher discretion.

If officers determine, on-scene, that a call reason is different from that originally assigned, they radio back to dispatch to correct the CAD record. If a written report is required, officers request incident numbers from dispatch. These numbers tie to original call numbers in CAD.

Officers complete and submit offense and supplementary reports to the RMS on field laptops. When there are charges, an arrest report is required. This too ties to the original call number. All reports are queued in an electronic file for review by supervisors, and then stored in the RMS database. If a Patrol supervisor reads a report and thinks a detective is needed, the case is forwarded electronically to the investigations unit for follow-up.

The Records Officer reviews all Patrol cases that go to court as a quality control measure.

SECTION 4: TRAINING

The state of Maine requires dispatchers who handle emergency calls to be emergency medical dispatcher (EMD) certified through the state and nationally through the National Academies of Emergency Dispatch (NAED). At least one emergency medical dispatcher quality assurance case reviewer (EMD-Q) is also required. All APD dispatchers are EMD certified through NAED; two are EMD-Q certified. EMD certifications are valid for two years. Recertification requires 24 hours of continuing education every two years and successful completion of an exam.

State EMD certification is achieved through the Terminal Officers Certificate program, a 40-hour training course designed to increase knowledge and skills in proper teletype procedures, use of teletype equipment, and DMV, NCIC, and criminal history checks procedures. This training is available throughout the year at the Maine Criminal Justice Academy. All APD dispatchers have a terminal officers certificate

All APD dispatchers maintain the NAED Emergency Telecommunicator Certification (ETC), designed to train new employees unfamiliar with emergency communication centers, emergency telecommunication technology, interpersonal communication, legal issues, and job stress factors.

A review of training records indicates that dispatcher training is essentially limited to the 12 hours per year required to maintain certification. No specialized training was noted on how to handle sensitive calls, such as domestic violence, suicide, or persons with mental illness.

New hires are trained on-the-job, first through shadowing and observation, then limited hands-on work, and the gradual assumption of responsibilities. There is no formal in-house manual to train new dispatchers; however informal checklists exist to document skills and experiences with police and fire calls.

SECTION 5: TECHNOLOGY

The APD communications center is a state-of-the-art facility, following a recent renovation, with all new equipment. System hardware includes:

- Dell Poweredge 2950 Server
- Quad Core 2826 MHz
- 8 Gig RAM
- 5 - 150Gig SCSI drives RAID 5 (Perc controller)
- Dual Power Supplies
- Windows Server 2003 64Bit

There are four incoming 911 lines and six non-emergency lines. One-button transfer to other agencies is available. There is a TTY/TDD unit to communicate with the hearing impaired and a language line is available on a pay-per-use basis to handle calls in other languages. All incoming calls, including all radio traffic are digitally recorded and saved to the server. They are periodically burned to a disc and saved for a year.

The communications center is physically located adjacent to the Records Clerks and the front desk receiving area. Physical security is adequate with two locked doors separating the public from the communications center.

The department has 47 portable radios and 23 mobile radios that operate on a digital simulcast system. Coverage is described as 70 to 95% with the portable and above 95% with the mobile in-car radio. Maintenance is conducted through a contract with a local communications firm. The state police and sheriff can listen to the APD primary digital frequency but must use another frequency (the statewide car-to-car channel) to communicate. The frequencies/channels are outlined in the following table:

Zone	A	B	C	D	E	F
	Primary Augusta PD	Primary Conops	Primary Mutual Aid	Primary City	Primary MDEA	Primary Analog
1	PRIMARY	PRIMARY	PRIMARY	PRIMARY	PRIMARY	PRIMARY
2	TAC 1	TAC 1	TAC 1	TAC 1	TAC 1	AFD
3	SUPERVISOR	AFD	AFD	AFD	AFD	SPCC / OPS 4
4	DETECTIVE	SWSP / OPS 1	Fire Ground	Fire Ground	Fire Ground	SWSP / OPS
5	SRT	NWCC / OPS 2	TOGUS	NWCC / OPS 2	NWCC / OPS 2	APW
6	Training	EMS / OPS 3	NWCC / OPS 2	SWCC / OPS 6	SWCC / OPS 6	HPD
7	AFD	SPCC / OPS 4	SWCC / OPS 6	APW	MDEA 1D	Capital
8	Fire Ground	ST. FD/OPS 5	HPD	ACC	APD WIRE	Capital
9	SPCC / OPS 4	SWCC / OPS 6	WPD	KVMC	MDEA WIRE 1	Capital
10	SWSP / OPS 1	REGION 7	GPD	SCHOOL	MDEA WIRE 2	Capital
11	APW	KENNBEC S.O.	KSO	UMA	MDEA 7D	Capital
12	HPD	KENN EMA Z2	SP Augusta	CAMP KEYES	MDEA 8D	Capital
13	Capital	KENN EMA Z3	SP Augusta	CAMP KEYES	MDEA 8D	Capital
14	Capital	SOMERSET	SP Augusta	CAMP KEYES	MDEA 8D	Capital
15	Capital	LINC CTY FD	SP Augusta	CAMP KEYES	MDEA 8D	Capital
16	Capital	MAINE EMA	SP Augusta	CAMP KEYES	MDEA 8D	Capital

The CAD/RMS system is from IMC and has been in place since 1998. Upgrades take place periodically as part of the ongoing maintenance agreement. There is no mapping capability; however consideration is being given to purchasing that module.

A backup generator maintains the integrity of the radio system and communications area during power outages. All communications computers also have battery backup. If CAD were to become inoperable, pen and paper would be used as was the case when the system went down during a recent upgrade.

SECTION 6: RECORDS CLERKS

The APD has two Records Clerks, one full-time and one part-time. They report to the Communications Lieutenant. Normal working hours are 7:30 a.m. to 4:00 p.m., Monday to Friday. Records clerks work the front desk and respond to walk-in inquiries. Like many agencies, the APD is largely paperless with incident report and arrest reports input via mobile data terminal. Accordingly, this traditional mainstay of the records function is no longer required.

Records clerks are responsible for other data entry and records processing including:

- ❑ Processing taxicab applications (mainly processed in December for the coming year)
- ❑ Processing concealed weapons requests (200-250 throughout the year)

- ❑ Entering protection orders (average 250-300 per year)
- ❑ Entering subpoenas (average 1,000 per year)
- ❑ Input civil traffic offenses (average 1,900) (city finance department is responsible for payment)
- ❑ Filing hardcopy paperwork and fingerprint cards
- ❑ Electronic scanning to case documentation
- ❑ Updating the records database with dispositions from court and deaths.

Records clerks also take money for a variety of functions and services, including:

- ❑ Impound fees (dog and car)
- ❑ Towing/wrecker fees
- ❑ Requests for reports
- ❑ Insurance accident reports

Workload is reported as manageable with the current staff.

Public access to records is outlined in General Order 03-35. The media policy is covered in G.O. 07-01.

SECTION 7: RECORDS OFFICER

The Records Officer is a full-time sworn position that reports directly to the Communications Lieutenant. Primary duties include:

- ❑ Process court paperwork for Patrol.
- ❑ Reviews / quality controls Patrol reports that go to court
- ❑ Transports paperwork to court for Patrol and CID (daily)
- ❑ Takes forms to state for OUIs
- ❑ Tracks all blood and urine kits
- ❑ Conducts evidence and recovered property duties
- ❑ Goes to state airport whenever TSA is screening passengers (three times daily)
- ❑ Assists the Communications Lieutenant with sex offender management
- ❑ Investigates bad check cases (50 to 75 per year)

- Community involvement/tours.

SECTION 8: EVIDENCE AND PROPERTY

Evidence and property management is one responsibility of the Records Officer. The Division Lieutenant serves as the evidence and property custodian in the absence of the Records Officer. Both work Day Shift, Monday through Friday.

The Augusta Police Department does not have a written policy to govern property and evidence management. Established practices are not documented and guidance is not available to officers in written format. The evidence management function is based on past practice and guidance comes from supervisors or other officers. There is no formal training beyond the basic academy training.

The department has both temporary storage areas and a permanent storage area for property and evidence. Uniformed officers place evidence and property in secure lockers adjacent to the sally port. Once locked, they can only be opened by the evidence custodian. Detectives have a temporary room in their office area. Once this room is locked it can only be opened by the Lieutenant/Investigations or evidence custodian. In all cases, evidence/property is removed from the temporary storage areas and placed in the permanent evidence room by the Records Officer.

In every case where property or evidence is taken into custody, a unique property record number is generated by the Records Management System and associated with the incident control number. The property number is included on the evidence bag or tag for tracking purposes. The custodian updates the RMS to document the location of items. Any time evidence/property is removed from the room, for any reason, the RMS is updated by the Records Officer.

The evidence room is currently near capacity. Items are neatly stored. Evidence and recovered property are separated in different areas. Recovered bicycles are stored in a garage behind police headquarters. Cash is stored in a safe in the evidence room. A secure refrigerator is available in the sally port area for items requiring refrigeration. The evidence room does not have an intrusion alarm or video surveillance, but it is protected by smoke detectors and a sprinkler system. The following individuals have key access to the evidence room: Chief of Police; Deputy Chief of Police; Lieutenant/Investigations; Lieutenant/Communications; and Records Officer.

There is no definitive schedule for property/evidence disposal. Unclaimed property can be disposed of after six months and the department has auctioned items in the past. There are different retention requirements for different types of evidence. Drugs and

narcotics are purged by MDEA. The department does not conduct regular inventories or quality control checks.

SECTION 9: PARKING ENFORCEMENT

There are three full-time civilian parking enforcement officers (PEOs) in Communications. Parking enforcement officers report directly to the Lieutenant. Work hours are 7:00 am to 3:30 pm Monday to Friday. One PEO is assigned to the parking district office at city hall to do data entry work, processing parking permits. Two PEOs actively work enforcement in the two main areas where parking is controlled – downtown and near the hospital. PEOs monitor violations by chalking tires and tracking time. Violations or complaints outside of these areas are handled by Patrol.

In 2009, parking enforcement officers issued 1,811 tickets, an average of 35 each week, 12 per PEO, two to three per day. An additional 501 were issued by patrol officers. Night shift patrol officers aggressively seek out parking violators, issuing thousands of warnings regarding the parking ban during the winter months.

Parking enforcement is not covered in the policies and procedure manual.

SECTION 10: EVALUATION

The Communications Division is the APD's version of what in many police agencies is titled administrative or support services. Communications and records functions are frequently grouped. Tied together by evolving technology, the IT function is often, and logically part of the grouping. Because of the information and IT base, crime analysis is often hosted in support services. The APD does not have a formalized crime analysis operation. We envision the APD building upon Communications Division functions and assets to "stand-up" and supply a series of capacities needed to take the agency forward in coming years.

Predictive policing (also referred to as Smart Policing) is in the experimental (developmental) stages. It is the next generation/iteration of crime/data analysis-based crime prevention and control and problem solving. The APD does not yet have a formal earlier generation crime and service analysis capacity. This gap needs to be filled as immediately as possible. While responsibility can be sited, logically, in a number of organizational locations, the Communications Division makes best sense to us.

The RMS will supply basic data for analysis. We have not been able to obtain documentation on the range and content of RMS functionalities. We presume basic

modules are available. Analytical software will be needed. The Lieutenant and/or other selected members of the agency will require training. On our proposed organization chart this capacity is named Analytics.

As the APD becomes more technologically advanced, the traditional activities of the Records function will become increasingly obsolete. Police work is being revolutionized by the social media habits of American citizens. The APD must try to keep up with at least the impacts of and opportunities offered by technology that has already arrived.

Absent ability to recommend an experienced IT professional, we suggest assigning this responsibility, also, to the Lieutenant. Hoping that the fiscal outlook will improve sometime in the future, we recommend hiring a civilian crime analyst/IT specialist to carry the new load we would place with the Lieutenant for now.

The staffing complement of the Communications Division is 14. Every member reports directly to the Lieutenant. There is not one intermediate supervisor. With responsibility for in-service/online training, sex offender registration contacts, and the myriad of daily, albeit important, concerns of staff, the Lieutenant is not positioned to learn/conduct new duties believed to be essential. The dispatch group is the largest and should have a senior in charge. To accomplish two important goals we have recommended that one dispatcher position be upgraded to a senior.

For reasons already made clear, the workload of first responders should be reduced. Alternatives to mobile response should become policy and practice. Telephone/electronic reporting and servicing procedures should be implemented. One option is to create a Citizen Assistance Unit, bringing together the Records Officer, as supervisor, the Records Clerks, and training volunteers to handle the new reporting protocols, to the extent possible. To supplement volunteers, the PEOs can be called upon. There also appears to be an opportunity to recover time from the Records Officer position. (The "delivery" tasks, for example, and the offense report review for another.) Volunteers should be considered for some of the sex offender management work - the clerical portion.

Finally, based on statistical data provided, it is necessary to question the return-on-investment from the parking enforcement function. We believe very strongly that these positions would be better used in Citizen Assistance or converted to Community Service Officers (CSOs) and transferred to Patrol, or a combination. CSOs handle citizen calls and requests (non-dangerous) to relieve first responders.

SECTION 11: RECOMMENDATIONS

To reposition the Communications Division for emerging 21st Century law enforcement capacities, the following actions are recommended:

1. **Establish a crime analysis/analytics capacity.**
2. **Focus greater attention on information technology matters, including maximizing the potentials of the RMS.**
3. **Establish telephone/electronic reporting and associated community service protocols.**
4. **Reexamine the value of the Parking Enforcement function compared to potential use in Citizen Assistance and/or CSOs.**
5. **Develop a VIPS program.**

VIPS can be used almost everywhere in the agency.

6. **Establish written guidelines to maintain the integrity and chain of custody of evidence and recovered property.**

The written guidelines should address:

- The official designation of one individual as evidence and property custodian.
 - Procedures for proper handling, packaging, and tagging of evidence/property. Officers must be trained in the established procedures.
 - Clear mandate that any property or evidence taken into custody must be stored in the evidence room.
 - Clear direction on the process for removing evidence/property from the evidence room for any purpose.
 - Clear direction on the process for returning items of evidence after disposition of a case, especially guns, knives, and hazardous items.
7. **Establish a Senior Dispatcher position.**

CHAPTER X. RECRUITMENT, SELECTION AND PROMOTION

General Order 01-24 outlines the hiring process for new officers. It details the results of the MCJA job task analysis for officers, which enumerates 532 physical activities and basic functions that an applicant must be able to accomplish to be considered for employment with the APD. Outside of the field training process, the department does not test applicants' ability to perform these functions.

SECTION 1: RECRUITMENT

No rule, regulation, or general order was identified that provides guidance on the purpose, policy, and practices of recruitment. There is no plan nor are there defined/specified recruiting goals or objectives.

All officers are encouraged to recruit quality personnel, but recruitment is largely the responsibility of the two Patrol lieutenants and a sergeant. Coordinated recruitment efforts are minimal. Reportedly, staff has attended one job fair in the last three years. Staff indicates that they encourage women and minorities to apply.

The recruiting brochure is a simple tri-fold with basic information. Photos included are of equipment, not personnel. The employment section of the department website features basic information: a list of requirements; a link to human resources; and a downloadable version of the tri-fold brochure. The city human resources department is primarily responsible for advertising.

SECTION 2: SELECTION

Minimum entry-level requirements are: 21 years of age; a high school diploma or equivalent; sound moral character; no criminal convictions; and passing required tests.

The selection sequence consists of:

- Application and successful test scores
- Interview
- Conditional offer of employment
- Background check
- Polygraph
- Medical and psychological exam

- Interview with the Chief and the City Manager.

Exams. All applicants must take the Maine Criminal Justice Academy's Alert Test and receive a passing score, determined by the Academy. Alert is a basic reading comprehension and writing skills test. A copy of the test results must be submitted at the time of application for employment for an applicant to be considered.

Applicants must show they meet the MCJA physical fitness standards. The test consists of a 1.5 mile run and a specific number of push-ups and sit-ups, with targets for each based on an applicant's age and gender. Both tests can be scheduled through MCJA. There is a nominal fee for each, which is the responsibility of the applicant.

Oral Board. Applicants who meet the minimum qualifications and have provided proof that they have taken and passed the MCJA Alert and PFT tests may be invited for an interview. Selection of these candidates is made by the recruiting lieutenant who reviews the applications. The interview board comprises the recruiting lieutenant and sergeant, Deputy Chief, and one union designee. Applicants are asked 15 standard questions and are then posed with a series of nine scenario-based questions. Following the oral board, interviewers convene, discuss their observations, and come to a consensus on which applicants should advance in the process.

A standard scoring mechanism for evaluating the interviews is not used. The policy manual references a scoring system with categories, but no evidence of this was found onsite. There is no formal training for members of the oral board. Determination of who advances is based on consensus of the board members.

Conditional Offer of Employment. A list of applicants recommended for employment is forwarded on to the Chief and conditional offers of employment are distributed. Conditional offers include standard release forms for medical records and background investigation, a pre-polygraph integrity questionnaire, and a personal history statement.

Background Investigations. There are two stages to the background investigation; both are conducted by a CID detective. The first is an interview, less formal than the Oral Board. An investigator screens and clarifies information about the applicant from the personal history statement.

The second stage involves review of all information previously collected. The agency's personal history statement is an in-depth and comprehensive questionnaire that provides the necessary information required to make an informed decision at this point in the process.

Pre-Employment Screening. The candidate then undergoes a physical exam conducted by a city-provided doctor and a psychological exam conducted by a contracted psychologist. A polygraph is conducted by the Lewiston Police Department.

Interviews. Finally, the applicant is interviewed by the chief of police and the city manager. These interviews are described as a formality; historically, candidates have not been eliminated at this stage.

Official Offer of Employment. Following successful completion of these events, an official job offer is made, and the candidate will be enrolled in the next academy. The probationary period for new hires is 12 months, per union contract. The only internal training is the field training, covered later.

SECTION 3: PROMOTIONS

Promotions are not governed by a general order or SOP. Promotion to sergeant is addressed by Article 39 of the Patrol union contract. There are no written procedures for promotions to detective or lieutenant.

To be eligible for promotion to sergeant, police officers must have at least three years of continuous service with the department. There are no prerequisite years of service or time-in-grade for detectives. The promotional process for the sergeant position involves four components with the following weights:

- ❑ Deputy Chief's Oral Board - 20%
- ❑ Supervisor's Evaluation - 20%
- ❑ Seniority - 20%
- ❑ Written Test - 40%

Oral Board. According to Article 39 of the union contract, the oral board interviews are conducted first in the process and consist of a minimum of three persons selected by the Deputy Chief. At least one representative should be a police executive from an outside law enforcement agency. There is no formal training for members of the interview board, nor a formal method of scoring candidate performance. Candidates are ranked based on consensus of the board members.

Supervisor's Evaluation. Evaluation score is based on an average of the previous two year's performance evaluations.

Seniority. Seniority is based on continuous service in the Augusta Police Department, 2% for each year completed up to 10 years.

Written Examination. The written exam is the last step in the process. The test is purchased from IPMA through the Maine Municipal Association. The city human resources department administers and scores the exam.

Based on the results of these four areas, the Chief gets a list of the top three candidates and makes a selection.

The resulting sergeants list is good for a year. Employees who are promoted are placed on probation for six months. At the end of the six months, the employee has a written evaluation, and if performance is satisfactory, the employee is removed from probationary status. If performance is unsatisfactory, the employee is returned to her previous position at the appropriate rank.

Assignment to the Criminal Investigation Division is similar. Detective vacancies are advertised via email and an application for transfer is submitted to the division commander. An oral board composed of the Deputy Chief and two other designees interview the candidates using standard questions, some of which are geared toward the specific responsibility of the detective position. Candidates are ranked by consensus and the top three candidates are forwarded to the Chief for final selection. There is no detective list. A new oral board is conducted each time due to the specialized nature of the work of each detective.

According to interviews, there is nothing in writing for the promotion from sergeant to lieutenant. Assessment centers have never been used.

SECTION 4: SPECIALIZED UNITS

Transfers and special assignments are not governed by a general order or contract article. There are few special assignments within the department. They include: SWAT/SRT, Motorcycle Unit, K9, and crisis intervention team. Vacancies for these posts are announced via email. Interested officers apply with an application for transfer, which is essentially a work history listing with additional questions depending on the type of job available. The supervisor of the unit with the vacancy handles the selection process, which typically involves an oral board. The board recommends the top candidates and the Chief picks.

Officers can show an interest in a specialty by applying for specialized training. Requests for such training can be an informal method of applying for a special position. For example, an officer may request to go to FTO training, thereby expressing interest in that job.

SECTION 5: PERFORMANCE EVALUATION

General Order 01-26 governs the employee performance evaluation process. Sworn officers and dispatchers are evaluated every six months using the APD employee performance evaluation form. Supervisors evaluate staff characteristics in six categories: work skills; work habits; work attitude; human relations; quality of work; and quantity of work. Supervisors are evaluated on an additional two categories, supervisory skill and general management skill. Each category contains two to five characteristics. Employees are rated on each characteristic using a five-point scale ranging from unsatisfactory to outstanding. Any rating above or below 3 (fully satisfactory) requires an accompanying comment explaining the score. The performance guidelines for each characteristic are defined in detail in the policy manual.

There have been no challenges or grievances regarding the performance evaluation process, however workforce survey results show 64% of respondents find the process to be unsatisfactory. Several respondents felt that the quantity of work, as evaluated by the number of calls and the number of traffic citations, is over-emphasized and not a fair judge of performance.

No formal guidelines or training on the evaluation process was noted beyond what appears in the SOP.

SECTION 6: EVALUATION

Workload measurements and observations by study staff indicate that APD officers and civilians are dedicated to their tasks. Citizen complaint and discipline data, two measures of officer behavior, are positive. These findings suggest that current human resources practices are achieving the desired goal – supplying a competent workforce. A handful of actions are recommended to reinforce a body of practice that has worked well to date.

A diverse workforce is not a stated objective of city government. Diversity is a recognized goal in contemporary policing. The sworn complement of the APD is male and Caucasian. There is one female. Staff interviews indicate that minority/female applicants are given priority in the application review process. However, there is no evidence of targeted outreach or recruitment efforts to encourage these groups to apply in greater numbers.

Equity and perceptions of equity are/should be essential policing objectives, externally (with citizens) and internally (with the workforce). “Transparency” is a correlate of equity and perceptions of equity. We have absolutely no indication that selection and

promotional processes are anything but entirely fair. Still, the APD should consider adding an independent observer to the oral board component of testing processes. A member of the city HR department would be a suitable choice.

Additionally, formalizing the oral board evaluation process for selection and promotion, to include a standardized scoring mechanism and training, is recommended. We are forwarding a sample candidate rating form as a reference. The city HR department may also be of assistance in this regard.

Promotions are based, in part, on performance evaluations. This lends great significance to the process. The workforce is distinctly dissatisfied with the process. This result is not uncommon in the agencies we survey. This should not, however, mitigate concern. The Evaluation Form, coupled with the guidelines in the SOP, seems adequate enough to support an effective process. If a breakdown exists it lies in the work of the raters and reviewers, a conclusion the study cannot reach or even illuminate. The best course we can suggest is that an inclusive set of stakeholders come together to examine and resolve the issue. Essential stakeholders are senior representatives, the proposed Professional Standards Lieutenant, and a city HR representative.

SECTION 7: RECOMMENDATIONS

To strengthen human resources practices, the following actions should be taken:

1. Aggressively recruit female applicants.

Guidance is available from the National Association of Women Law Enforcement Executives: info@nawlee.org. (NAWLEE has no member agencies in Maine. There are 17 in Massachusetts.)

Posting vacancies on IACP's Discover Policing website, www.discoverpolicing.org, would advertise APD to a nationwide audience, perhaps resulting in greater applicant diversity.

2. Add an observer to the promotional oral boards.

3. Form a work group to diagnose the causes of disaffection with the performance evaluation process.

4. Formalize the oral board evaluation process for selection and promotion to include a standardized scoring mechanism and board member training.

CHAPTER XI. CAREER DEVELOPMENT - TRAINING AND EDUCATION

Training and education policies and procedures are governed by General Order 03-42. Patrol officers training is guided by Article 36 of the union contract.

SECTION 1: ORGANIZATION AND STAFFING

General Order 03-42 outlines the department's approach to mandatory training but is largely outdated since the APD's transition to online training. Article 36 of the Patrol union contract references regular monthly training sessions credited at 1.5 hours of compensatory time or pay for each hour of the program. According to interviews, monthly training sessions became cost prohibitive and have been replaced with online training, which must be done while on duty and without overtime pay (a source of discontent among officers). The contract also states that "each employee will be allowed to attend one training course of up to three days in length."

The policy manual is not consistent in assigning responsibility for training. According to G.O. 03-42, the Chief is to designate a supervisor to serve as department training coordinator. Meanwhile, Chapter 2, Section 14 states that the Lieutenant of the Communications and Records Division is to serve as the department training coordinator.

The Communications Lieutenant previously coordinated training for the entire department, but this responsibility has since been decentralized to the supervisors. Presently the Communications Lieutenant manages the mandatory online training while all elective training is coordinated through unit supervisors. Supervisors are responsible for identifying needs, evaluating requests, and making recommendations to the Deputy Chief. Recruit and FTO training is the responsibility of a Patrol Lieutenant and sergeant. Training records are maintained in the Chief's office.

The training budget for FY 2011 is \$29,760.

SECTION 2: RECRUIT TRAINING

Recruits must complete the Basic Law Enforcement Training Program, a 720-hour course conducted by the Maine Criminal Justice Academy. Table 31 details the curriculum. Basic covers almost 80 skill and knowledge concentrations. Among the most heavily emphasized, measured by allocated hours, are: Lifetime Fitness (57 hours); Mechanics of Arrest, Restraint and Control (56 hours); Emergency Vehicle Operations (47 hours); Firearms (47 hours); Crash Investigation (40 hours); and Maine Criminal Law (35 hours).

Table 31

MAINE BASIC LAW ENFORCEMENT TRAINING PROGRAM CURRICULUM

Unit Number	Subject Area	Hours
1.1.0	Orientation to Basic Training	5
1.2.0	Note Taking and Study Habits	1
1.3.0	Testing and Critiques	68
1.4.0	Program Evaluation	4
1.5.0	Graduation	8
1.6.0	Expectations for Behavior	1
1.7.0	Professional Value System	2
1.8.0	Sexual Harassment	2
1.9.0	Americans with Disabilities Act: Basic Awareness	3
	Section Total	94
<input type="checkbox"/>	PROFESSIONAL DEVELOPMENT	
2.1.0	History and Principles of Law Enforcement	2
2.2.0	Introduction to Community Policing and Crime Prevention	14
2.3.0	The Criminal Justice System	3
2.4.0	Civil Rights Issues	4
2.5.0	Police Ethics, Moral Issues and Discretion	8
2.6.0	Supervisor-Subordinate Relations	2
2.7.0	Cultural Diversity	2
2.8.0	Dealing with the Vulnerable	11
	Section Total	46
<input type="checkbox"/>	LAW AND LEGAL ISSUES	
3.1.0	Constitutional Law	2
3.2.0	Laws of Arrest	7
3.3.0	Search and Seizure	13
3.4.0	Admissions and Confessions	4
3.5.0	Maine Criminal Law and Investigations	35
3.6.0	Maine Juvenile Law and Youth Services	4
3.7.0	Maine Motor Vehicle Law	14
3.8.0	Maine Liquor Law	3
3.9.0	Use of Force	4
3.10.0	Civil Liability	2
3.11.0	Jurisdiction	1
3.12.0	Extradition and Fresh Pursuit	1
	Section Total	90
<input type="checkbox"/>	COMMUNICATIONS	
4.1.0	Interviewing Techniques and Skills	7
4.2.0	Stress Management	1

Table 31

MAINE BASIC LAW ENFORCEMENT TRAINING PROGRAM CURRICULUM

Unit Number	Subject Area	Hours
4.3.0	Interpersonal Communications/Relations	7
4.4.0	Crisis Conflict Management	8
Section Total		23
☐ TRAFFIC		
5.1.0	Traffic Law Enforcement	4
5.2.0	Traffic Direction and Control	2
5.3.0	Operating Under the Influence / Standardized Field Sobriety Testing	26
5.4.0	Principles and Operation of Radar	12
5.5.0	Crash Investigation	40
5.6.0	Hazardous Materials / Weapons of Mass Destruction	4
5.7.0	Intoxilyzer Operation and Certification	16
Section Total		104
☐ INVESTIGATIONS		
6.1.0	Principles of Investigation	2
6.2.0	Case Preparation	2
6.3.0	Identification of Suspects	2
6.4.0	Handling Physical Evidence	4
6.5.0	Securing and Processing the Crime Scene	7
6.6.0	Motor Vehicle Thefts	2
6.7.0	Informants	3
6.8.0	Surveillance	3
6.9.0	Identification and Handling Drugs	4
6.10.0	Injury and Death Cases	4
6.11.0	Child Abuse	3
6.12.0	Domestic Abuse	10
6.13.0	Workplace Violence	2
6.14.0	Gangs and Associated Activity	3
Section Total		51
☐ PATROL		
7.1.0	Patrol Concepts, Preparation and Techniques	4
7.2.0	Radio and Telecommunications	2
7.3.0	Crimes in Progress	9
7.4.0	Stopping and Approaching the Violator	4
7.5.0	Roadblocks	2
7.6.0	Handling Animal Complaints	1
7.7.0	Complaints and Service Calls	4
7.8.0	Criminal Enforcement Interdiction	3
7.9.0	News Media Relations	3
7.10.0	Incident Command System	3

Table 31

MAINE BASIC LAW ENFORCEMENT TRAINING PROGRAM CURRICULUM

Unit Number	Subject Area	Hours
7.11.0	High Risk Stops	7
7.12.0	High Speed Pursuits	2
7.13.0	Handling Bomb Complaints	3
7.14.0	Responding to Crisis Situations	7
7.15.0	Responding to Active Shooter Situations	7
7.16.0	Electrical Safety	2
Section Total		65
❑ LAW ENFORCEMENT SKILLS		
8.1.0	Firearms	47
8.2.0	Note Taking and Report Writing	5
8.3.0	First Aid and CPR	16
8.4.0	Basic Water Safety and Rescue	2
8.5.0	Emergency Vehicle Operations	47
8.6.0	Mechanics of Arrest, Restraint and Control	56
8.7.0	Crowd Control and Civil Disorder	4
8.8.0	Lifetime Fitness	57
8.9.0	Courtroom Testimony and Demeanor	6
8.10.0	Basic Fingerprinting	7
Section Total		247
TOTAL PROGRAM CURRICULUM HOURS		720

SECTION 3: FIELD TRAINING

Field training is scheduled for 12 weeks but is considered complete only when field training officers (FTOs) deem recruits to be ready for solo assignments. Recent trainings have ranged from six weeks (for lateral hires) to six months duration.

The first week of training involves administrative activities, swearing in, acquisition of uniforms and equipment, a facilities tour, followed by a series of observation days where trainees shadow personnel in Dispatch, Records, CID and Animal Control. Trainees are then paired with their first FTO. New recruits typically have three FTOs, one for each month of the program. Phases are scheduled for different shifts and patrol districts to expose trainees to environmental differences.

A field training checklist governs the program. It enumerates 288 skills, abilities, and general experiences that recruits must master and FTOs must evaluate. Neither an instructor's manual nor a student's manual has been developed to guide the technical learning process, complete the forms, or evaluate learners.

The Daily Observation Report provides a narrative for FTOs to evaluate trainee daily performance. The Cycle Observation form is used at the end of each FTO's tenure (typically a month). This form is used to evaluate performance of specific patrol officer tasks, requirements, and attributes. Readiness to solo comes from collaboration among the FTOs but is normally made by one of the Patrol sergeants. There is no formal process by which trainees provide feedback on FTOs.

All FTOs attend the 40-hour Field Training Officer course at the Maine Criminal Justice Academy. There is no formal supplementary in-house training for FTOs. Selection of FTOs is based on interest expressed by individual officers, verified by supervisors. Training records show that 14 officers have attended MCJA training. Four are considered "primary."

Four of the certified (formally trained) FTOs are sergeants. Three are assigned to Patrol at present, one to CID. One certified FTO is the evening/night shift Patrol Lieutenant. Three certified FTOs are assigned to CID. The remaining four – the primaries – are in Patrol.

Completion dates of FTO training range from 1999 to 2010. The primaries completed training in 2004, 2008 (2), and 2010. In 2008 the MCJA modified its field training offering, adopting a PTO course (a community-policing based emphasis). Three of the four "primaries" have had this training.

SECTION 4: IN-SERVICE TRAINING - MANDATORY

The state of Maine requires completion of 20 hours of mandatory subject area training every two years for law enforcement officers to remain certified. (Two hours in each of five areas annually.) Firearms and case law updates are required every year. Table 32 shows the subject areas for 2008 – 2011.

Table 32	
MANDATORY IN-SERVICE TRAINING SUBJECT AREAS	
2008	
<input type="checkbox"/>	Firearms
<input type="checkbox"/>	Law Updates
<input type="checkbox"/>	Crime Scene Investigation and Evidence Collection
<input type="checkbox"/>	Identification of Predominant Aggressor in DV Cases
<input type="checkbox"/>	Dealing with Developmental Disabilities such as Autism and Others
2009	
<input type="checkbox"/>	Firearms
<input type="checkbox"/>	Law Updates
<input type="checkbox"/>	Situational Use of Force Assessment
<input type="checkbox"/>	Issues of Sexual Assault
<input type="checkbox"/>	Initial Response to Serious Motor Vehicle Crashes
2010	
<input type="checkbox"/>	MCJA Firearms Qualification
<input type="checkbox"/>	New Law/Case Law Updates
<input type="checkbox"/>	Human Trafficking
<input type="checkbox"/>	Drug Overdoses and Death Investigation Protocol
<input type="checkbox"/>	Legal Issues re Roadside Stops
2011	
<input type="checkbox"/>	MCJA Firearms Qualification
<input type="checkbox"/>	New Law / Case Law Updates
<input type="checkbox"/>	Dealing with Emotionally Disturbed Persons (adults and juveniles)
<input type="checkbox"/>	Pursuits and Response to Calls
<input type="checkbox"/>	Stress in Law Enforcement

These trainings are delivered and tracked almost exclusively online through a partnership with the Maine Criminal Justice Academy and Justice Planning and Management Associates (JPMA). Internal email notices are distributed when the training is available. Officers schedule a time to participate in the training.

The APD training records database does not definitively differentiate between in-service and elective training, but some reasonable assumptions can be made. Although occasionally elective courses are taken online, the predominance of online training is in-service. Table 33 shows the pattern of APD in-service course enrollment in 2009, recognizing that some of the identified courses may be elective.

SECTION 5: IN-SERVICE TRAINING - ELECTIVE

In addition to the 20 hours of mandatory subject area training, the state of Maine requires that every officer complete an additional 20 hours of elective training, biannually, as approved by the chief executive officer of the employing agency. Requests for elective or career development training are evaluated by supervisors and advanced to management for approval. A binder of training opportunities available from MCJA is available in the briefing room.

Table 34 shows the elective course options for 2009 and the number of APD officers trained in one or more courses. Again, coding inconsistencies in the training database may have resulted in the appearance of in-service courses here, but the breadth of the course offerings is apparent.

APD officers enrolled in almost 80 courses, mostly one to four officers per offering.

SECTION 6: EVALUATION

The APD has been industrious in developing its most prized asset, the workforce, and in protecting skill and knowledge levels. American law enforcement officers generally receive a solid foundation in law enforcement fundamentals at state/state-sanctioned police academies. We have no reason to believe otherwise for MCJA-trained recruits. Mandatory in-service requirements are being satisfied. In-service elective training is robust, overall. The specialized training record is mixed. Investigators training is ample. Training for dispatchers is limited. Leadership training is not discouraged. Whether it is an agency priority or the result of self-selection is not clear. The record in this area is acceptable. More could be done. The FTO program requires attention. It lacks structural components, primarily FTO/recruit manuals that would enhance teaching and learning potential.

Table 33

TRAINING PROFILE - MANDATORY TRAINING - 2009

Course Title	Number of Officers Trained
<input type="checkbox"/> Reports and Notifications of Serious Injury	32
<input type="checkbox"/> Fatal and Serious Injury Crash	32
<input type="checkbox"/> 2009 Supreme Court Case Law	32
<input type="checkbox"/> 2009 Maine Supreme Judicial	32
<input type="checkbox"/> 2009 Maine Law Updates	32
<input type="checkbox"/> 2009 First Circuit Court	32
<input type="checkbox"/> October 2009 Firearms Training	31
<input type="checkbox"/> Responding to Sexual Assault	28
<input type="checkbox"/> Annual Firearms Training	28
<input type="checkbox"/> Understanding Sexual Assault	27
<input type="checkbox"/> Admissions & Confessions	27
<input type="checkbox"/> On the Scene of Sexual Assault	26
<input type="checkbox"/> Awareness of Human Trafficking	24
<input type="checkbox"/> Limited Access. METRO	22
<input type="checkbox"/> Responding to Human Trafficking	14
<input type="checkbox"/> Responding to Human Trafficking	5
<input type="checkbox"/> On Scene of Sexual Assault	4
<input type="checkbox"/> Understanding Sexual Assault	3
<input type="checkbox"/> Human Trafficking	3
<input type="checkbox"/> Responding Sexual Assault	2
<input type="checkbox"/> Terrorism 2: Law Enforcement	1
<input type="checkbox"/> Terrorism 1: Law Enforcement	1
<input type="checkbox"/> Responding to Human Trafficking	1
<input type="checkbox"/> New Law Update - 2008	1
<input type="checkbox"/> NEW LAW UPDATE	1
<input type="checkbox"/> MDT Certifications Training	1
<input type="checkbox"/> Admissions & Confessions 2	1
<input type="checkbox"/> Admissions & Confessions 1	1
TOTAL	444

Table 34

TRAINING PROFILE - ELECTIVE TRAINING - 2009

Course Title	Number of Officer Enrollments
<input type="checkbox"/> Understanding Situational Use	32
<input type="checkbox"/> Situational Use of Force: Asse	32
<input type="checkbox"/> H1N1	26
<input type="checkbox"/> K-9 training	10
<input type="checkbox"/> Protestor Devices	9
<input type="checkbox"/> FIT Testing	9
<input type="checkbox"/> Decertification Process	8
<input type="checkbox"/> October 2009 SRT: Firearms	7
<input type="checkbox"/> ATV LAW ENFORCEMENT TRAINING	7
<input type="checkbox"/> TAIT COMMUNICATIONS - ADMIN	6
<input type="checkbox"/> SRT - March 2009 Training	6
<input type="checkbox"/> SRT - January 2009 Training	6
<input type="checkbox"/> SRT - CPR Certification	6
<input type="checkbox"/> Active Shooter Training	6
<input type="checkbox"/> TAIT - TRAIN THE TRAINER	5
<input type="checkbox"/> SYMPOSIUM	5
<input type="checkbox"/> SRT - SIMUNITIONS	5
<input type="checkbox"/> SRT - February 2009 Training	5
<input type="checkbox"/> May 2009 SRT Range Training	5
<input type="checkbox"/> MANAGING CIVIL ACTIONS - BASIC	5
<input type="checkbox"/> Limited Access. Metro	5
<input type="checkbox"/> August 2009 SRT Training	5
<input type="checkbox"/> Use of Force, K-9 Tracking, PT	4
<input type="checkbox"/> SWAT SUPERVISION AND MANAGEMENT	4
<input type="checkbox"/> Supervisory Skills	4
<input type="checkbox"/> SRT Quarterly Firearms Training	4
<input type="checkbox"/> SRT Physical Fitness Testing	4
<input type="checkbox"/> SRT - Quarterly Firearms Qual.	4
<input type="checkbox"/> LEICA, Map Scene Recorder	4
<input type="checkbox"/> June 2009 SRT Training	4
<input type="checkbox"/> Drug Enforcement Training	4
<input type="checkbox"/> Defensive Tactics for Police	4
<input type="checkbox"/> COLLISION FORENSIC SOLUTIONS	4
<input type="checkbox"/> WMD HAZMAT Evidence Collection	3
<input type="checkbox"/> TASER Liability/Use of Force	3

Table 34

TRAINING PROFILE - ELECTIVE TRAINING - 2009

Course Title	Number of Officer Enrollments
<input type="checkbox"/> TASER Liability/Use of Force	3
<input type="checkbox"/> ME Liquor Law & Fraudulent ID	3
<input type="checkbox"/> April 2009 SRT Training	3
<input type="checkbox"/> ADMIN LIQUOR VIOLATIONS	3
<input type="checkbox"/> ACTIVE SHOOTER CONCEPT	3
<input type="checkbox"/> Workers Comp and 1983 Actions	2
<input type="checkbox"/> WMD Crime Scene Mgmt.	2
<input type="checkbox"/> STINGER SPIKE INSTRUCTOR	2
<input type="checkbox"/> Responding to Human Trafficking	2
<input type="checkbox"/> On the Scene of Sexual Assault	2
<input type="checkbox"/> Less-Lethal Programs Instructo	2
<input type="checkbox"/> Intoxilyzer Certification	2
<input type="checkbox"/> INTERNATIONAL POLICING	2
<input type="checkbox"/> Interactive Use of Force Instru	2
<input type="checkbox"/> Interactive Use of Force Instr	2
<input type="checkbox"/> Incidents Command	2
<input type="checkbox"/> Firearms Training	2
<input type="checkbox"/> DRE	2
<input type="checkbox"/> Crime Scene Management	2
<input type="checkbox"/> Corporate Outreach Program	2
<input type="checkbox"/> CIVIL ACTIONS - DISORDERS	2
<input type="checkbox"/> Awareness of Human Trafficking	2
<input type="checkbox"/> WMD Crime Scene Management	1
<input type="checkbox"/> TRAINING COURSE	1
<input type="checkbox"/> Stinger Spikes Systems	1
<input type="checkbox"/> Search & Seizure Testimony	1
<input type="checkbox"/> Radiation Control Program	1
<input type="checkbox"/> PROTESTER DEVICES	1
<input type="checkbox"/> Program L Managing Civil Action	1
<input type="checkbox"/> OTHER TRAINING SESSION	1
<input type="checkbox"/> ME CRIMINAL JUSTICE ACADEMY	1
<input type="checkbox"/> MCJA POLEX Course	1
<input type="checkbox"/> Managing Civil Actions-Command	1
<input type="checkbox"/> Managing Civil Actions in Thre	1
<input type="checkbox"/> Managing Civil Actions	1
<input type="checkbox"/> LOW SPEED EVOC	1
<input type="checkbox"/> Limited Access. METRO	1

Table 34

TRAINING PROFILE - ELECTIVE TRAINING - 2009

Course Title	Number of Officer Enrollments
<input type="checkbox"/> Intoxilyzer re-certification	1
<input type="checkbox"/> Interview & Interrogation	1
<input type="checkbox"/> Instructor - Search and Seizure	1
<input type="checkbox"/> HAZMAT EVIDENCE COLLECTION	1
<input type="checkbox"/> Forensic Interviewing for Children	1
<input type="checkbox"/> Drug Trends, Pharmaceutical	1
<input type="checkbox"/> combat lifesaver course	1
<input type="checkbox"/> CIVIL RIGHTS OFFICER TRAINING	1
<input type="checkbox"/> CIVIL ACTIONS - PROTESTER DEV	1
<input type="checkbox"/> Basic Protestor	1
<input type="checkbox"/> Basic Drug Investigation	1
<input type="checkbox"/> Basic POLEX	1
<input type="checkbox"/> Anti-Terrorism Local Law Enforcement	1
<input type="checkbox"/> Advanced Sexual Assault Inv.	1
<input type="checkbox"/> ACCIDENT RECONSTRUCTION 1	1
TOTAL	340

Useful criteria for diagnosing and evaluating in-service professional development are:

- ❑ Number of hours of training received, annually
- ❑ Relevance of those hours to the mission and priorities of the agency
- ❑ Number of hours of training that specialists receive in their specialties
- ❑ Degree to which mandatory recertification training requirements are met
- ❑ Leadership/succession preparation.

Application of these measures to the APD situation produces an acceptable achievement record, paralleled by the presence of a number of improvement opportunities.

FTO/PTO. The major positive of this endeavor is the presence of a sizeable cadre of trained FTOs, both on the ground (the primary instructors) and at the supervisory level, sergeants and lieutenants. From bottom-to-top, the process is administered by trained professionals. Offsetting potential, at the field level, however, is reliance on instructional materials that are neither complete nor suitable for consistent use. A standardized teaching/learning experience does not seem to be reachable as a result.

Instructor and trainee protocols in book or electronic form are a centerpiece of best practice field training programs. From program overviews, roles and expectations, learning principles, and, especially, guidelines for evaluation and remediation, protocols clarify expectations and establish the basis for consistency among multiple FTOs. APD FTO protocols, the Field Training Checklist in particular, do not meet contemporary standards. Better products are available.

The younger FTOs – the primaries – have been trained to administer the PTO, unlike FTOs trained previously, who, we surmise, learned to administer the San Jose model. The models contrast in emphasis, PTO being far more community policing oriented, and in teaching/learning strategies. PTO features scenario-based teaching, for example. The APD is advised to move forward with a PTO model, starting with new protocols already recommended.

In-Service. The number of hours of training that officers receive and the relevance of those hours are the beginning metrics. APD training records cannot supply a measure of average number of training hours for sworn officers. Recognizing this shortcoming we offer the following estimate.

<u>Rank</u>	<u>Number in Count</u>	<u>2007</u>	<u>2008</u>	<u>2009</u>
❑ Lieutenants	4	129	166	148
❑ Sergeants	6	55	83	134
❑ Detectives	4	98	119	155
❑ Officers	19	37	37	54

(Margin of Error: Number of records without hours designations: 2007 - 22%; 2008 - 16%; 2009 - 9%; three-year average - 15%.) These numbers are remarkably high, more than 10 hours per month for most ranks in 2009.

By virtue of agency compliance with mandatory state standards, the APD work force is well-positioned for SKA growth. The MJCA mandatory course selections have been excellent for the past five years, both the choices in fundamentals (firearms) and emerging issues and capacity building (emotionally disturbed citizens, for example).

Job-relevant specialized training is metric number two. The most heavily staffed specializations in the APD are criminal investigations (CID) and Communications (dispatching). In 2009 detectives averaged 155 hours of training, mandatory and elective, an average of 12.9 hours per month. Many of the elective courses were investigations-specific, such as active shooter and sexual assault investigation. At the same time, a very heavy number of hours were traffic focused - over one-third. Accident reconstruction, collision forensic solutions, are examples.

Dispatchers averaged 21.7 hours of training in 2009, about 2.5 days. Largest concentrations were in National Annual Background, EMD-Q, and H1N1. This is not particularly impressive.

Leadership. Tangible evidence of a leadership development strategy and plan does not seem to exist. The same is true with regard to succession planning. Culturally, however, leadership development has not been discouraged. Training records document that:

- ❑ Every sergeant and lieutenant has completed at least two leadership-focused training courses
- ❑ Number of trainings completed ranges from two to six
- ❑ Lieutenants have received an average of 71 hours
- ❑ Sergeants average 48 hours.

(Averages do not include courses for which number of hours is not documented.)

One member of the APD is an FBI National Academy graduate. Records document participation in the LEEDS program (FBI), the Leadership and Mastering Performance program (host unknown), and Penn State University's POLEX program. Some sergeants and lieutenants, not all, have completed the Basic Supervision course, presumably from the MCJA.

Workforce Satisfaction. Workforce satisfaction with professional development covers an entire range from dissatisfaction to satisfaction. With regard to adequacy of training for current assignments the Workforce Survey yielded these results:

- | | | |
|--------------------------|---|----------------------|
| <input type="checkbox"/> | Unsatisfactory | 22.6% (7 responses) |
| <input type="checkbox"/> | Neither Satisfactory nor Unsatisfactory | 22.6% (7 responses) |
| <input type="checkbox"/> | Excellent | 54.8% (17 responses) |

Distribution of responses by rank does not produce a definitive pattern. Satisfaction is higher among upper ranks, which is common to most of our survey responses. When data are examined by assignment, the patterns are roughly similar. Responses from Communications staff are less favorable in this analysis.

Accountability. Currently, authority and accountability is diffused. This has not produced readily observable dysfunction. Shared accountability is not good practice.

SECTION 7: RECOMMENDATIONS

To foster professional development of the workforce and better position the agency for leadership succession the APD should consider the following actions:

1. **Develop or select, document, and implement a leadership development model/program.**

Many excellent choices are available, including the IACP's LPO (Leadership in Police Organizations) approach.

2. **Formalize accountability for the training function.**

We have recommended the proposed Office of Professional Standards.

3. **Redesign field training, building on the PTO model.**

With newer, primary FTOs having been schooled in the PTO model at the MCJA, transition has already begun, in fact.

Recognize that adoption of a PTO model commits the agency to a community-based policing style.

4. **Focus in-service elective course selection to maximize investment of training time.**

CHAPTER XII. ORGANIZATIONAL CULTURE - WORKFORCE PERSPECTIVES

Workforce perceptions, attitudes, and expectations constitute essential information for understanding the current culture and effectiveness of the APD, diagnosing opportunities for constructive change, and managing organizational transformation. The IACP surveyed the workforce to capture this information and to broaden involvement in the study.

SECTION 1: SURVEY STRUCTURE

The survey elicited judgments concerning:

- ❑ **Job Preparation and Direction**: goals and objectives; supervision; training; policies and procedures.
- ❑ **Performance Standards and Measurements**: current standards; coaching and mentoring; performance evaluation.
- ❑ **Equity Considerations**: promotion practices; transfer and special assignment practices; citizen complaints and internal affairs.
- ❑ **Productivity and Innovation**: ideas to improve Patrol, investigations; communications; serving the community; activities of questionable value.
- ❑ **21st Century Policing**: forces of change; implications of forces; constructive responses to implications.

The survey consisted of open-ended and forced-choice questions.

Written survey questionnaires were provided to the APD for distribution to every member of the agency. Participation was voluntary. Survey protocols promoted anonymity. Respondents were expressly asked not to provide names. Unauditable pre-addressed envelopes were provided.

SECTION 2: SURVEY RESPONSE

Thirty-one (31) responses were received, 58% of eligible respondents. Assessed by total number of respondents, distribution by rank, and years of service, the respondent universe is considered sufficiently representative to accurately reflect the culture of the APD.

Rank. The distribution of responses was fairly broad across ranks.

<u>Rank</u>	<u>Number</u>	<u>Percent of Responses</u>
<input type="checkbox"/> Officer	11	35.5
<input type="checkbox"/> Civilian	10	32.3
<input type="checkbox"/> Lieutenant	4	12.9
<input type="checkbox"/> Sergeant	4	12.9
<input type="checkbox"/> Other Sworn	<u>2</u>	<u>6.5</u>
TOTAL	31	100.0

Assignment. Responses also distribute broadly among assignments. Uniform staff returned the largest number followed by communications.

<u>Assignment</u>	<u>Number</u>	<u>Percent of Responses</u>
<input type="checkbox"/> Patrol	14	45.2
<input type="checkbox"/> Communications	7	22.6
<input type="checkbox"/> Other	6	19.4
<input type="checkbox"/> Investigations	<u>4</u>	<u>12.9</u>
TOTAL	31	100.0

APD Experience. Years of experience with the APD are evenly distributed across categories.

<u>Rank</u>	<u>Number</u>	<u>Percent of Responses</u>
<input type="checkbox"/> 4 - 9	8	25.8
<input type="checkbox"/> 15 - 19	7	22.6
<input type="checkbox"/> 20+	6	19.2
<input type="checkbox"/> 0 - 3	5	16.1
<input type="checkbox"/> 10 - 14	4	12.9
<input type="checkbox"/> Decline to state	<u>1</u>	<u>3.2</u>
TOTAL	31	100.0

Education. Nearly one-third (29%) of respondents have baccalaureate degrees. Twenty-five percent have a high school diploma.

SECTION 3: WORKFORCE PERCEPTIONS - OVERVIEW

Table 35 summarizes perceptions of 11 job-centered practices and conditions. Positive practices/conditions are those receiving 50% of responses, or more, in the “satisfactory” or “excellent” range (choices 4 or 5 on the survey). Fifty percent or more in the unsatisfactory and/or neither satisfactory nor unsatisfactory ranges (choices 1, 2, or 3 on the survey) is not positive.

The workforce judges four practices/conditions positively:

- Understanding of Unit/Shift Goals
- Quality of (immediate/direct) Supervision
- Training
- Understanding of Performance Standards (standards/behaviors to which workers are held accountable)

With the exception of unit/shift goals, the positive margins are narrow, 8% or less. (Note: 8% is a small margin; with 31 respondents, each response has great weight.)

The workforce judges seven practices and conditions negatively:

- Understanding of APD Goals
- Policies and Procedures
- IA/Discipline Practices
- Performance Evaluation – Formal (the annual)
- Performance – Capacity Building (training, supervision, other actions)
- Special Assignment and Transfer Practices
- Promotional Practices

Table 35 also notes the results of inter-rank analysis, which surfaces quantitative variations of significance among ranks. Viewed collectively, rank correlates with positive perceptions. In the APD sergeants and supervisors, and to a greater extent, lieutenants, have more positive perceptions. This pattern is found frequently in our surveys.

Table 35				
PRACTICES AND CONDITIONS - RANKINGS				
Practice / Condition	% Unsatisfactory / Ineffective (1 or 2)	% Neither Effective nor Ineffective (3)	% Satisfactory / Effective (4 or 5)	Variation by Rank
<i>Effective (50+% 4 or 5)</i>				
<input type="checkbox"/> Understanding Unit/Shift Goals	3.2%	19.4%	77.4%	none
<input type="checkbox"/> Quality of Supervision	22.6%	19.4%	58.1%	Viewed as not positive by 83% dispatchers and 100% other sworn
<input type="checkbox"/> Quality of Training	22.6%	22.6%	54.8%	Viewed as not positive by 67% of dispatchers
<input type="checkbox"/> Understanding of Performance Standards	19.4%	25.8%	54.8%	Viewed as not positive by 55% of officers and 67% of dispatchers
<i>Not Effective (50+% 1,2, or 3)</i>				
<input type="checkbox"/> Understanding APD Goals	6.5%	45.2%	48.4%	Viewed more positively by supervisors (75% Lieutenants and 50% Sergeants) Officer and dispatchers have the least favorable views (64% and 83%. Respectively)
<input type="checkbox"/> Policies and Procedures	25.8%	29.0%	45.2%	75% of supervisors (Lieutenants and Sergeants) view as positive
<input type="checkbox"/> IA/Discipline Practices	30.0%	30.0%	40.0%	None
<input type="checkbox"/> Performance Evaluation	32.1%	32.1%	35.7%	Sergeants are more positive - 75% have favorable views
<input type="checkbox"/> Performance - Capacity Building	35.5%	32.3%	32.3%	75% of lieutenants view as positive
<input type="checkbox"/> Special Assignment Practices	23.3%	46.7%	30.0%	75% of lieutenants view as positive
<input type="checkbox"/> Promotional Practices	33.3%	40.7%	25.9%	75% of lieutenants view as positive

SECTION 4: WORKFORCE PERCEPTIONS - CLUSTERS

Table 36 supplies another view of workforce perceptions, clustering responses by “classes” or “clusters” of practices and conditions. The workforce returned collectively satisfactory/effective responses with regard to Job Preparation and Guidance practices, by a slim margin. The remaining two clusters are regarded less satisfactorily. The Performance Standards cluster is interesting. It suggests that the workforce believes it comprehends what is to be achieved (the standards), which is positive, but does not feel that the agency is delivering sufficient opportunities to develop the individual capacity to meet standards.

The Equity cluster is of particular concern. Over two-thirds of respondents regard these very personal workplace condition practices as less than satisfactory, almost one-third judging the cluster completely unsatisfactory. Clearly, there is much work to be done across the three clusters.

SECTION 5: INDICATORS

Respondents were invited to explain their reasoning and/or feelings for rating conditions or practices unsatisfactory. These responses help us to understand and evaluate conditions. Other survey questions were designed to elicit workforce ideas, suggestions, and information for moving the agency forward.

- ❑ **Policies.** Substantial commentary was volunteered regarding policies. A small grouping cluster centered on content: out-dated; most are outdated; policy revision needed; vague guidance. More dominant numerically are comments on policy gaps – direction on situations/actions that officers confront: disciplinary actions; evidence – collection, retention, disposition; SRT team and equipment; disorderly conduct (public); sex offender registry; computer crimes; suspicious packages.
- ❑ **Performance Evaluation.** Dissatisfaction with this critical practice is widespread, spanning all ranks. Commentaries criticize the evaluation model and its application. Equity perceptions are evident.

The first category includes references such as: need to be more job-specific – not the same for all personnel; officers are ranked on traffic summonses issued and calls for service – many officers (therefore) only write tickets and “draw calls for every menial task”; categories are vague.

Table 36

PRACTICES AND CONDITIONS - CLUSTERS

Practice / Condition	% Unsatisfactory / Ineffective (1 or 2)	% Neither Effective nor Ineffective (3)	% Satisfactory / Effective (4 or 5)
Job Preparation and Guidance			
<input type="checkbox"/> Understanding APD Goals	6.5%	45.2%	48.4%
<input type="checkbox"/> Understanding Unit/Shift Goals	3.2%	19.4%	77.4%
<input type="checkbox"/> Quality of Supervision	22.6%	19.4%	58.1%
<input type="checkbox"/> Quality of Training	22.6%	22.6%	54.8%
<input type="checkbox"/> Policies and Procedures	<u>25.8%</u>	<u>29.0%</u>	<u>45.2%</u>
Average	16.1%	27.1%	56.8%
Performance Standards and Measurement			
<input type="checkbox"/> Understanding of Performance Standards	19.4%	25.8%	54.8%
<input type="checkbox"/> Performance Standards - Capacity Building	35.5%	32.3%	32.3%
<input type="checkbox"/> Performance Evaluation	<u>32.1%</u>	<u>32.1%</u>	<u>35.7%</u>
Average	29.0%	30.1%	40.9%
Equity Considerations			
<input type="checkbox"/> Promotional Practices	33.3%	40.7%	25.9%
<input type="checkbox"/> Assignment Practices	23.3%	46.7%	30.0%
<input type="checkbox"/> IA/Discipline Practices	<u>30.0%</u>	<u>30.0%</u>	<u>40.0%</u>
Average	28.9%	39.1%	32.0%

The second and larger category of references, numerically, includes: goals are not defined prior to evaluation; overemphasis on the bad, overshadows the good; standards depend on how much your supervisor likes you; point system is counterproductive – officers compare each other by rating scores, not performance.

- **Patrol Improvements.** Workforce response to our call for Patrol improvements was robust. The predictable suggestions to add officers were linked to purposes: more officers to support community-based programs and community involvement; traffic officer and domestic violence officer; more officers so we have more time to fully investigate cases.

Productivity-focused and patrol method ideas include: manpower needs to be more structured to suit demand – more on days and early evening; mechanism to communicate between shifts – pass on information; do not bog down officers with civil issues, nuisance animal complaints, and council mail; reevaluate district boundaries; mix up assignments – having districts assigned by seniority hinders the training process.

- **Productivity Improvements.** Suggestions to improve the APD investigations function include: shift more investigations to CID to lessen the burden on Patrol; have an evening shift detective; rotate patrol officers into CID to assist with cases; and certify evidence technicians.

Fewer than 10 suggestions were offered to improve the communications function. Many of them coalesce around a perception that dispatchers are isolated from Patrol personnel and CID investigators. “Get rid of the walls between dispatch, CID and Patrol – there’s little cooperation unless it’s forced.”

In the “Open” category (improvements to functions other than Patrol, investigations and communications) we received: need higher standards for recruiting and hiring; need an officer in the high school to free up the unit in that sector from being at school all the time; need a school resource officer; need a community policing officer; need a K-9 program; need Patrol supervisors to work cases.

- **Community Service Improvements.** Mirroring the “Open” responses to a great extent, suggestions to service the community better brought forward: more community oriented projects; seniors’ programs; fingerprinting kids; community outreach – juvenile, elderly, sex offender

management; leadership that supports community programs like DV, elder abuse, sex assault crisis centers; juvenile officer; welcome back the chaplain; civilian police academy; citizen volunteers; crime prevention officer; improve relations with other agencies.

Frequent references are made to frustrations regarding absence of more effective responses to mentally ill residents; revolving door response to low income populations; and inability to function proactively.

- **Questionable Activities.** Asked about current activities that have little value, respondents cited: delivering council mail; animal calls that require officer to take cats to shelters; airport screening; snow removal operations that require officers to contact vehicle owners before towing; daily foot patrols on crime free streets.

SECTION 6: IMPLICATIONS

With some exceptions, workforce perceptions reinforce our independently produced findings and recommendations. Many suggestions are reflected throughout this report. We are impressed, as we normally are, with the conditions and practices grasp shown by the workforce.

The depth of understanding makes clear that the APD workforce is well prepared to engage in organizational transformation as the APD attempts to “hold on” and then move forward through the fiscal turbulence that is setting in. We urge that the next CEO and commanders and supervisors employ the concepts and strategies of transformational leadership. This will maximize the energy, experience, intellect, and motivation of the workforce.

SECTION 7: RECOMMENDATIONS

1. **Ensure that transformational leadership concepts and strategies are deliberately employed to guide APD operations and change management.**
2. **Supply pertinent education and training starting with executive, command, and supervisory personnel.**