

# **Risk Management in Law Enforcement**

Discussions on identifying and mitigating risk for officers, departments, and the public

This project was supported, in whole or in part, by cooperative agreement number 2016-CK-WX-K028 awarded by the U.S. Department of Justice, Office of Community Oriented Policing Services. The opinions contained herein are those of the author(s) or contributor(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice. References to specific individuals, agencies, companies, products, or services should not be considered an endorsement by the author(s) or the U.S. Department of Justice. Rather, the references are illustrations to supplement discussion of the issues.

The internet references cited in this publication were valid as of the date of publication. Given that URLs and websites are in constant flux, neither the author(s) nor the COPS Office can vouch for their current validity.

The U.S. Department of Justice reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use this resource for Federal Government purposes. This resource may be freely distributed and used for noncommercial and educational purposes only.

Recommended citation:

Copple, Colleen K., and James E. Copple. 2018. *Risk Management in Law Enforcement: Discussions on Identifying and Mitigating Risk for Officers, Departments, and the Public*. Washington, DC: Office of Community Oriented Policing Services.

Published 2018

# Contents

- Letter from the Director ..... iii
- Introduction ..... 1
- Risk Management and Law Enforcement ..... 3
  - About risk management in law enforcement ..... 3
  - Why law enforcement should care about risk management ..... 4
  - Who are risk management stakeholders ..... 7
  - Components of risk management ..... 8
- Risk Identification and Analysis ..... 9
  - Risk identification ..... 9
  - Importance of data to understand and analyze levels of risk ..... 9
- Risk Mitigation Strategies ..... 15
  - Leadership and culture ..... 15
  - Accreditation of law enforcement agencies ..... 17
  - Certification and decertification of officers ..... 20
  - Recruiting and hiring the right people ..... 22
  - Proper use and implementation of model policies ..... 23
  - Enhanced training ..... 26
  - Developing appropriate systems of supervision and review ..... 27
  - Sentinel event reviews and early warning systems ..... 28
  - Police-community relations ..... 31
  - Use of force ..... 32
  - Officer safety and wellness ..... 33
- Tools for Shared Risk Management ..... 37
  - Reducing silos ..... 37
  - Use of incentives and disincentives ..... 38
  - Risk reviews ..... 39

Roles and Responsibilities in Reducing Risk.....	41
Local governments (municipalities, cities, and counties) .....	41
Risk managers and insurers .....	41
Law enforcement agencies .....	42
Police labor unions.....	43
Community.....	43
Appendix A. Summary of Recommendations .....	45
Appendix B. Selected Resources for Risk Management .....	49
Appendix C. Forum Participants .....	59
About the Authors .....	61
About SAI .....	62
About the COPS Office .....	63

# Letter from the Director

Colleagues:

Lawsuits filed against law enforcement agencies can not only cost millions of dollars but also undermine departmental morale, negatively impact the lives of their officers, and damage community-police relations. Consequently, risk management has become a critical component of budget planning and decision-making for many agencies, local governments, and taxpayers.

The COPS Office convened a forum to discuss risk management in law enforcement. Designed to help facilitate information sharing between risk management stakeholders—the community, law enforcement executives, labor unions, local government, professional risk managers, and insurance agencies—the forum enabled participants to learn about and share ways to reduce risk while also increasing efficiency and improving service delivery.

This report, which summarizes the group’s discussions, covers all aspects of this critical subject, including departmental leadership’s role, hiring policies, agency culture, training, and police-community relations. Readers will also find guidance on sharing risk management, with a description of the roles and responsibilities of government, risk managers, insurers, unions, and the community in this effort.

On behalf of the COPS Office, I thank our vendor, Strategic Applications International, for its work in managing the forum and developing this report—which can be of great value not only in helping agencies think about how to mitigate risk but also in enhancing policies and procedures in various areas including recruitment, training, and officer safety and wellness.

Lawsuits can cost a city and its taxpayers millions of dollars and undermine support for their local law enforcement agencies. As this report points out, just one claim in a small jurisdiction could devastate not only the local budget but also public trust. The information contained in the following pages can help agencies better plan to minimize the risk of that happening while also improving community relations, officer morale, and operational excellence.

Sincerely,

A handwritten signature in black ink that reads "Phil Keith". The signature is written in a cursive style with a long, sweeping tail that extends to the right.

Phil Keith  
Director  
Office of Community Policing Services



# Introduction

For many law enforcement agencies, risk management is a practice that seeks to identify and mitigate risk for both officers and the public. At stake is the well-being of officers and the public, as well as the integrity of the institutions that protect and serve a community. Law enforcement agencies, in the course of executing their duties, are often liable for any form of misconduct, harm, or violation of rights done to the community. Cities, counties, and municipalities also assume risk as the fiduciary agents of law enforcement agencies for injuries, for failure to execute duties in a responsible and legal manner, or for violation of an officer's rights or safety.

Risk management is a critical component of budget planning in most medium-sized and large law enforcement organizations. Managing risk requires departments to engage in actuarial predictions that affect budgets and budget planning. Failure to account for civil liability events such as officer misconduct or mishandling of public protests can cost a city or the taxpayers millions of dollars. Every city, town, and municipality is vulnerable to risks associated with providing law enforcement services. One claim in a small jurisdiction could devastate not only the local budget but also public trust.

To stimulate dialogue about risk management partnerships and collaboration, the Office of Community Oriented Policing Services, in partnership with Strategic Applications International, convened a forum on December 7, 2016. Attendees included representatives from law enforcement agencies and local governments as well as risk management leaders at the local, state, and national levels. (For the complete list of forum participants, see appendix C.) This report is a summary of the facilitated discussion, preforum interviews with participants, and a literature review.

---

From a risk management perspective, the obvious risk is associated with failure to maintain public safety. The things that I worry about in terms of our police force are: first of all, the people involved—the officers and the department—whether or not they are safe; whether or not they are injured or made ill by the work they do; and if they are injured on the job, how can we get them back healthy again. We also worry about the long-term impacts of the career on folks. So those are some of the things that we think about in terms of the policing side of the equation.

We also have a concern about police actions on members of the community. We handle cases where a warrant said you're going to 4227, and you go to 4272 and knock in the door. We handle claims like that where there has been an error, and people have been affected. We have accidents with police forces driving millions of miles per year. We have claims about officer conduct. Those are some of the liabilities associated with police operations that we try to address through risk management.

— *Barry Scott, Risk Manager, City of Philadelphia*

---

# Risk Management and Law Enforcement

## About risk management in law enforcement

The International Organization for Standardization (ISO) defines *risk* as “the effect of uncertainty on objectives”<sup>1</sup> and *risk management* as “coordinated activities to direct and control an organization with regard to risk.”<sup>2</sup> In other words, risk management involves first identifying, assessing, and prioritizing risks and then applying resources in a coordinated and economical way. This method helps organizations to minimize, monitor, and control the probability of unfortunate events or their effects.<sup>3</sup>

In addition to the fact that risk management is complex, law enforcement agencies often have unique risk management needs because of their relationship with and the role of their local government. For many law enforcement agencies, risk management efforts focus on identifying and preventing risk for officers. In contrast, local governments often act as the fiduciary agent for their law enforcement agency and need to have a more comprehensive approach to risk management that includes the safety and well-being not only of officers but also of the communities they serve as well as the financial liability of the local government and the taxpayer.

Jack Ryan, an attorney and instructor with the Public Agency Training Council, identified 12 high-risk critical tasks that impact law enforcement operations:<sup>4</sup>

1. Use of force
2. Pursuit and emergency vehicle operations
3. Search and seizure including arrest
4. Care, custody, and control of prisoners
5. Domestic violence
6. Property and evidence

---

1. “Risk Management – Principle Guidelines,” ISO 31000 § 2.1 (2009), <https://www.iso.org/obp/ui/#iso:std:iso:31000:ed-1:v1:en>.

2. “Risk Management – Principle Guidelines,” ISO 31000 § 2.2 (2009), <https://www.iso.org/obp/ui/#iso:std:iso:31000:ed-1:v1:en>.

3. Douglas W. Hubbard, *The Failure of Risk Management: Why It's Broken and How to Fix It* (Hoboken, NJ: Wiley & Sons, 2009), 46.

4. Jack Ryan, *The Law and Best Practices of Successful Police Operations: 12 High Risk Critical Tasks That Impact Law Enforcement Operations and Create Exposure to Liability Litigation* (Indianapolis: Public Agency Training Council, 2007).

7. Off-duty conduct
8. Sexual harassment or misconduct
9. Selection and hiring
10. Internal investigations
11. Special operations
12. Dealing with people who have mental illnesses or emotional disturbances

---

Law enforcement agencies often have unique risk management needs because of their relationship with and the role of their local government.

---

Liability comes in the form of (1) lawsuits or claims against officers, law enforcement agencies, and cities or counties for police actions such as wrongful death, excessive force complaints, illegal searches, and civil rights complaints, (2) injury or harm to officers, including violations of their rights and officer safety and wellness, and (3) damage to the trust and legitimacy between law enforcement agencies and the communities they serve. All three areas are concerns of risk managers, law enforcement agencies, cities, counties, communities, and taxpayers.

## Why law enforcement should care about risk management

### Desire to uphold the law

The National League of Cities—whose membership comprises approximately 1,600 cities, towns, and villages as well as 18,000 communities<sup>5</sup>—considers local governments<sup>6</sup> to be the foundation of governance in the United States and believes in “anticipating the needs of communities and developing strategies to meet those needs.”<sup>7</sup> Local governments exist to protect and serve the public by upholding laws to ensure the constitutional and civil rights of every individual in any given town, city, county, or state.

---

5. “History,” About NLC, National League of Cities, accessed April 11, 2018, <https://www.nlc.org/about-nlc/history>.

6. For the purpose of this report, *local governments* means towns, cities, and counties.

7. “NLC Goals and Beliefs,” About NLC, National League of Cities, accessed May 31, 2017, <http://nlc.org/about-nlc/nlc-goals-and-beliefs>.

---

Law enforcement should not put the public more at risk; rather, its actions should reflect a standard of professionalism and skill that ensures equal protection and equal treatment under the law.

---

Likewise, law enforcement should not put the public more at risk; rather, its actions should reflect a standard of professionalism and skill that ensures equal protection and equal treatment under the law. Although the Supreme Court ruled in 2005 that there is no constitutional duty for police to protect their constituency from harm,<sup>8</sup> the International Association of Chiefs of Police (IACP) recommends that every law enforcement agency should adopt and adapt an oath of honor to their own circumstances. The IACP'S Law Enforcement Oath of Honor reads, "On my honor, I will never betray my badge, my integrity, my character, or the public trust. I will always have the courage to hold myself and others accountable for our actions. I will always uphold the constitution, my community, and the agency I serve."<sup>9</sup>

The public entrusts law enforcement officers to carry and use lethal weapons with skill, discretion, and wisdom. That trust also demands that local governments and law enforcement agencies, from executive leadership to rank and file, take responsibility for ensuring that the necessary policies, procedures, training, hiring, accreditation, review, supervision, and support are in place and consistently applied.

But the responsibility for ensuring public safety does not rest solely with law enforcement agencies and local governments. Mayors, city and county managers and administrators, internal and external risk managers, unions, and communities also have a shared role in working closely with law enforcement agencies to recognize, prioritize, and mitigate public safety risks, whether real, potential, or perceived.

---

8. Linda Greenhouse, "Justices Rule Police Do Not Have a Constitutional Duty to Protect Someone," *The New York Times*, June 28, 2005, <http://www.nytimes.com/2005/06/28/politics/justices-rule-police-do-not-have-a-constitutional-duty-to-protect.html>.

9. "Oath of Honor," Ethics, International Association of Chiefs of Police, accessed July 11, 2017, <http://www.theiacp.org/oathofhonor>.

## Desire to protect those who uphold the law

Law enforcement officers risk their lives every day, not only while executing their assigned duties but also in the long term because of the physical and emotional health risks associated with their jobs, such as exhaustion from long shifts, poor eating habits during late-night shifts, and depression.<sup>10</sup> A recent study by the University of Buffalo using a cohort of 2,800 White male officers from the Buffalo (New York) Police Department found that

White male police officers have an increased risk of dying at an earlier age across various age categories than does the White male general population. On average, the life expectancy of police officers in [the] sample was significantly lower than that of the U.S. population (mean difference in life expectancy = 21.9 years [ . . . ]). Overall, male police officers had a significantly higher average probability of death than did males in the general population.<sup>11</sup>

Moreover, law enforcement's occupational fatality rate is "three to five times greater than the national average for the working population."<sup>12</sup>

Thus, it is imperative that officers, who risk their lives to protect others, "also be protected against incapacitating physical, mental, and emotional health problems as well as against the hazards of their job."<sup>13</sup> Local governments, law enforcement organizations, unions, and the officers themselves must make recognizing and addressing these consequences a priority.

## Fiduciary responsibility to taxpayers

Liability claims against law enforcement officers, their agencies, and local governments can cost millions of dollars a year, which depletes law enforcement and local government budgets. From large cities to small towns, the cost of claims comes from local taxpayers. For example, in FY 2015 New York City paid \$202.6 million to settle claims brought against the New York City Police Department, substantially more than the \$154.1 million paid in the previous fiscal year.<sup>14</sup>

---

10. Deborah Spence, ed., *Improving Law Enforcement Resilience: Lessons and Recommendations*, Officer Safety and Wellness Group Meeting Summary (Washington, DC: Office of Community Oriented Policing Services, 2017), <https://ric-zai-inc.com/Publications/cops-p362-pub.pdf>; Julia Hill, et al., *Making Officer Safety and Wellness Priority One: A Guide to Educational Campaigns* (Washington, DC: Office of Community Oriented Policing Services, 2014), <https://ric-zai-inc.com/Publications/cops-p300-pub.pdf>.

11. John M. Violanti et al., "Life Expectancy in Police Officers: A Comparison with the U.S. General Population," *International Journal of Emergency Mental Health* 15, no. 4 (2013): 217–228, <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4734369/>.

12. "National Officer Safety and Wellness Group," Office of Community Oriented Policing Services, accessed October 22, 2018, <https://cops.usdoj.gov/oswg>.

13. "National Officer Safety and Wellness Group," (see note 12).

14. Bob Hennelly, "NYPD Payouts Up, but New Lawsuits Down," *City & State New York*, March 7, 2016, <http://cityandstateny.com/articles/politics/new-york-city/nypd-payouts-up,-but-new-lawsuits-down.html#.WNKZvRiZOu4>.

“Ongoing misconduct claims for a small city could be a million dollars per year and for larger cities tens or hundreds of millions of dollars per year,” said Andrew Myerberg, assistant city attorney, City of Seattle, during the 21st Century Policing as an Effective Risk Management Tool forum. “Obviously there’s the risk of lawsuits and judgments, but if you lose, you’re not just losing the judgment; there are also attorney’s fees. Then there is the cost of policing protests related to misconduct. Litigation costs are only one piece of the picture.”

---

“Ongoing misconduct claims for a small city could be a million dollars per year and for larger cities tens or hundreds of millions of dollars per year.”

---

## Who are risk management stakeholders

The COPS Office designed the forum to foster dialogue between the different stakeholders involved in law enforcement risk management, which includes not only those affected by risk but also those who oversee risk mitigation and management. Not everyone came to the forum with an awareness of the utility of risk management for local governments and for law enforcement agencies.

Laura Waxman, director of Public Safety, U.S. Conference of Mayors, said, “Based on this forum, I have learned that risk management as it relates to law enforcement is an issue we need to bring to the mayors. It cuts across city and county government and affects other agencies as well, making it a critical piece of municipal budget management.”

Risk management stakeholders who should be engaged for input when developing risk management strategies include the following:

- Risk managers
  - Internal and external risk managers
  - Local and state risk management pools
  - Insurance companies
- City, county, and other local governments
  - Government leaders
  - Legal and financial advisors or functions
- Law enforcement agencies
  - Leadership
  - Supervisors
  - Rank and file
- Police unions
- Community members
- Taxpayers

The level and type of engagement will necessarily vary by stakeholder and the risk issue under evaluation.

## Components of risk management

Numerous times forum participants referenced Gordon Graham, a recognized leader in risk management in law enforcement, who has stressed that three fundamental components are at the core of risk management:

1. **Recognition.** The first step is to recognize the risks of a particular job.
2. **Prioritization.** Next, prioritize those risks according to “potential frequency, severity, and available time to think prior to acting.”
3. **Mobilization.** Last, take action to manage or mitigate the recognized and prioritized risks.<sup>15</sup>

According to Graham, these three components can help agencies “get things done right.” Two families of risk management can help agencies to get on that path: organizational and operational risk management. *Organizational* risk management is about managing the overall risks of a law enforcement agency by trying to get all systems within an agency to work together, and *operational* risk management is about managing the risks of a specific event or incident such as a court testimony or warrant service.<sup>16, 17</sup>

Both organizational and operational risk management “involve the proper development and full implementation of *systems*” (i.e., organized and established procedures, as defined by Merriam-Webster.com).<sup>18</sup> When an incident occurs, agencies can analyze these systems to learn from their mistakes. Graham explained,

Whenever I see a tragedy in law enforcement (or outside of our profession for that matter), I always do the systems DUI analysis. Was there a properly **designed** system in place? Was it **up to date**? Was it being **implemented**? It gets down to design, update, and implementation. There are plenty of examples of organizations and incidents in our profession where well-designed systems were either not in place, not up to date, or most often not being implemented, and severe consequences resulted.<sup>19</sup>

---

15. Gordon Graham, “American Law Enforcement 2012: Some Thoughts on Managing Risk,” speech given at the Massachusetts District Attorneys Association’s 18th Annual Prosecutors Conference on Continued Professional Training, Worcester, MA, June 14, 2012, 5, <http://www.mass.gov/mdaa/docs/graham-handouts.pdf>.

16. Graham, “American Law Enforcement 2012” (see note 15).

17. Although not discussed at this forum, another way of categorizing risks is in terms of Strategic, Operational, and Tactical. Risk-informed decision making can be instilled at all levels of an organization.

18. Graham, “American Law Enforcement 2012” (see note 15).

19. Graham, “American Law Enforcement 2012” (see note 15).

# Risk Identification and Analysis

## Risk identification

Forum participants' discussions about risks in law enforcement fell into three categories, which are included in the following list along with the specific risks identified:

1. Injury or harm to the public caused by an officer's or a law enforcement agency's action
  - a. Civil rights violations or constitutional violations
  - b. Car accidents or injuries caused by officers
  - c. Deaths in custody
  - d. Use of force, shootings, injuries, or other harm
2. Injury or harm to officers
  - a. Violation of officers' rights and protections
  - b. Traffic, car, motorcycle, and bicycle accidents
  - c. Harm caused by assailants or offenders (e.g., assaults, shootings, and assassinations), including those resulting from ambushes
  - d. Job-related stress (e.g., physical stress such as heart disease, mental health concerns, substance abuse, and suicide)
3. Injury or harm to public trust, community perceptions, and police-community relations
  - a. Patterns of perceived or real misconduct or mistreatment by officers
  - b. Discriminatory law enforcement practices
  - c. Breakdown of police-community relationships
  - d. Loss of trust
  - e. Mass demonstrations

## Importance of data to understand and analyze levels of risk

Data is essential to accurately predict, prioritize, and prevent harm or injury to officers, to those who interact with law enforcement, and to the public's trust in its law enforcement agency. Furthermore, "accurate data collection is essential to ensuring safe and responsible policing," said forum participant Carlton Mayers II, policy counsel, Police Reform Campaign, National Association for the Advancement of Colored People (NAACP) Legal Defense and Education Fund. "Every organization or company has some form of internal auditing system, and law enforcement shouldn't be any different. Publicly reported data, which can be broken down and analyzed to provide greater insight into the workings of police departments around the country, is a benefit to everyone."

---

“Accurate data collection is essential to ensuring safe and responsible policing.”

---

Several of the participants spoke to the need to develop “big data” standards and models for the collection and interpretation of agency and national data sets that can be used to identify and analyze risk. One suggestion included the use of local academic institutions to help with developing integrated data standards and platforms across jurisdictions.

New initiatives in the field since 2015 could serve as a clearinghouse for big data. Such initiatives include the Police Data Initiative, a national voluntary effort to encourage law enforcement agencies to share data, increase transparency, and provide access to information that informs the field through a broader understanding of law enforcement actions, especially in areas of high risk such as use of force.<sup>20</sup>

Of course, while national datasets can be helpful, events recorded in data in specific environments and conditions do not always translate well from one location to another. There are limitations to big data, including with data quality and applicability that suggest the need to balance it with local information and data as well.

### **Using data to understand risk associated with interactions between the public and law enforcement**

Data is a tool to examine and understand the nature of law enforcement interactions with the communities they serve. Some of the key data collection elements discussed at the forum included use of force, officer-involved shootings and near misses, in-custody injuries and deaths, demographic data on officer stops, and arrests. Moreover, collecting information on encounters and sharing that data with the community are key steps law enforcement agencies can take to promote transparency and legitimacy, as data provides objective measures that can hold agencies accountable.

One forum participant discussed how law enforcement should not fear what such data collection could reveal and how agencies should view those findings as learning opportunities. “We can’t be afraid of the truth,” said Barbara Langhenry, director, City of Cleveland Department of Law. “People also have to be open minded enough to not use data just to prove [their] own point but to actually understand the situation and find a way forward. We have to be mindful of that at all levels.”

---

20. “Police Data Initiative,” Police Foundation, accessed November 9, 2017, <https://www.policedatainitiative.org/>.

---

“People also have to be open minded enough to not use data just to prove [their] own point but to actually understand the situation and find a way forward. We have to be mindful of that at all levels.”

---

### Using data to understand risk to officers

Officer safety and wellness are high priorities for managing risk in law enforcement for many reasons, not the least of which is that healthy officers are less likely to engage in risk-inducing behaviors such as excessive use of force and abuse of power.<sup>21</sup> Moreover, providing education on health and fitness and offering preventive screenings costs agencies much less than disability, health insurance, early retirements, and death benefits. To help prove this fact, risk managers have access to data that shows the financial benefits of preventive programs.<sup>22</sup>

Agencies should also monitor officer adherence to policies and procedures that save lives, such as wearing seat belts, following safe pursuit practices, and using bulletproof vests, as a way to analyze how well the agency is reducing officer risk. In addition, agencies should track officer injuries, sick leave, retention rates, use of employee assistance programs, and the use of proactive mandatory mental health services following critical events. With such data, agencies can improve practices and policies that would increase the likelihood of positive outcomes such as increased public trust and confidence in local law enforcement agencies.

Again, forum participants reminded attendees that it’s important agencies look at such data analyses as a means to improvement. “We tend to pick the data that validates us, rather than data that educates us so we can learn how to improve what we do,” said one participant. “We should engage labor unions to help us identify what other data tells the story,” he said. For example, law enforcement agencies that survey and seek feedback from their officers and staff on a regular basis and use that feedback to inform organizational improvement, mitigate against risk, and inform strategic planning are better able to identify problem areas that are affecting officer morale and the culture of the organization.

### Using data to monitor police-community relations

According to forum participants, proactive law enforcement agencies can gather data from community members through various means. In addition to hosting focus groups and community meetings, agencies can conduct annual community surveys to gauge the status of the public’s experiences with and perceptions of interactions with officers. However, conducting such a survey is only one step to

---

21. Mark Bond, “The Impact of Stress and Fatigue on Law Enforcement Officers and Steps to Control It,” *In Public Safety*, February 24, 2014, <https://inpublicsafety.com/2014/02/the-impact-of-stress-and-fatigue-on-law-enforcement-officers-and-steps-to-control-it/>.

22. Spence, ed., *Improving Law Enforcement Resilience*, 31–32 (see note 10).

better understanding community-police relations. Agencies need to balance survey results—which measure perception—against the facts of policies and procedures and review, discuss, and present survey findings with the appropriate contexts in place.

---

“When using a community survey to gauge public opinion, it’s important to solicit input from all those who will be impacted.”

---

Forum participants also discussed the importance of who receives the surveys. “When using a community survey to gauge public opinion, it’s important to solicit input from all those who will be impacted,” said Carlton Mayers II, policy counsel, Police Reform Campaign, NAACP Legal Defense and Education Fund. “Few are more directly affected by law enforcement actions than arrestees and detainees.”

Mayers also said that feedback from arrestees and detainees “can serve as an integral part of an early warning system.” They and the public at large can help identify emerging concerns that may pose potential risk to officers and the community, thus providing the agency with time to proactively address those concerns before they escalate and result in a negative encounter.

Furthermore, agencies that monitor police-community relations can use that data to create a culture of learning that informs organizational improvement and crime fighting efforts. According to a 2014 report, predictive policing and intelligence-based policing were two emerging trends in law enforcement’s crime fighting efforts.<sup>23</sup> Both require the proactive use of data to identify where and how to police most effectively. In other words, proactive agencies that obtain information from community members about their concerns and priorities can address public safety issues by balancing empirical data with the community’s experience.

### Data usage concerns and suggestions

Forum participants raised a concern about the importance of using law enforcement data constructively. Several suggestions focused on including data sets that identify not only community risks but also the risks officers face. For example, Michael McHale, president, National Association of Police Organizations, said that law enforcement should have data not only on officer use of force but also “on the use of force against officers to reduce their injury and death.”

---

23. Police Executive Research Forum, *Future Trends in Policing* (Washington, DC: Office of Community Oriented Policing Services, 2014), <https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P282>.

---

“Data collection should [also] capture the contacts that are positive in nature. It is not spoken about enough.”

---

McHale also discussed how law enforcement can use data collection to capture officers’ positive initiatives and interactions with the community. “We should be collecting the number of hours that officers commit to other civic volunteer efforts,” said McHale. “Data collection should capture the contacts that are positive in nature. It is not spoken about enough.” Positive data sets combined with data on community perceptions about officer behavior can help communicate a more balanced perspective of the full extent of officers’ contributions to their communities.

However, it is also important to understand that there can be a danger in pursuing data without a clear understanding of its place and potential value in supporting decision making, and also to be sure that the expense involved in collecting additional data does not outweigh its useful benefit. The key is to understand what difference additional data could have on the confidence in results and how it would support decision-making.

### Recommendations

The following recommendations are a summary of the forum participants’ findings:

1. Professional law enforcement associations should develop national law enforcement data collection standards and platforms to be used for risk management purposes to inform the mapping, prioritization, and risk mitigation work of law enforcement agencies and local governments.
2. Law enforcement agencies should collect data on officer incidents and personnel records, including use of force charges against officers, officer retention rates, years of service, accidents, and sick leave rates.
3. The U.S. Department of Justice (DOJ) should provide examples of survey tools to encourage law enforcement to collect data on community perceptions and on the perceptions of those who have the most interaction with law enforcement: e.g., those who are stopped, arrested, and incarcerated.



# Risk Mitigation Strategies

Forum participants identified the following 11 key elements of good risk management systems that can and should be understood and embraced by risk managers, local governments, and law enforcement agencies:<sup>24</sup>

1. Leadership and culture
2. Accreditation of law enforcement agencies
3. Certification and decertification of officers
4. Recruiting and hiring the right people
5. Proper use and implementation of model policies
6. Enhanced training
7. Developing appropriate systems of supervision and review
8. Sentinel event reviews and early warning systems
9. Police community relations
10. Use of force
11. Officer safety and wellness

## Leadership and culture

Forum participants emphasized the importance of leadership's role in influencing an agency's culture, as the chief or sheriff sets the expectations and focus of the organization. "The law enforcement leader—his or her vision for constitutional policing, the standards they set, the political support for that vision, and the way they infuse that vision and philosophy beginning with the new officers and field training officers—is the foundation," said Mark Spencer, inspector general, Prince George's County Sheriff's Department. In particular, leaders who value and work on community relationships and transparency and are comfortable with accountability can influence police culture by setting positive examples and encouraging all ranks to practice this same commitment.

---

24. Although not discussed at this forum, risk mitigation frameworks and strategies exist that agencies may explore if interested in enhancing specific risk management systems; for example, an insurance risk management guide may be helpful for thinking about the management of financial risk of events. Agencies may also want to look at frameworks for enterprise risk management rather than working to develop a number of different risk management strategies to address different areas of operations.

“You can train all you want and be accredited, but culture and leadership are absolutely of the utmost importance,” said Spencer. He also said that positive police culture “starts with courageous, visionary, humane police leadership” who realizes “they are public servants [and] part of the community,” that they not only serve but also can engage and listen to the community.

---

“You can train all you want and be accredited, but culture and leadership are absolutely of the utmost importance.”

---

---

An effective leader can inspire improvement throughout the ranks and foster stronger relationships with the community. A poor leader can demoralize the ranks and damage community relationships.

---

Several participants agreed on the importance of selecting the right law enforcement executives. An effective leader can inspire improvement throughout the ranks and foster stronger relationships with the community. A poor leader can demoralize the ranks and damage community relationships.

To make sure that positive influence flows through the agency and the ranks, leaders are needed at every level, from supervisors to rank and file. Intelligence-led policing, predictive policing, community policing, and problem solving all require an officer to take the initiative, to analyze a situation, to use the information available, to make good decisions, to identify the trends and root causes for crime, and then to figure out what actions to take. “There is no replacement for good people,” said Spencer.

Benefits of fostering a positive law enforcement culture include having officers who see their role as that of one who serves and protects the public rather than an us-versus-them view. The risks inherent in a negative law enforcement culture include increased use of force, higher rates of citizen complaints, and more officer-involved shootings. “What a leader chooses to emphasize with recruitment and hiring, accreditation, data collection and analysis, policy, training, supervision, problem solving, collaboration, communication, and officer safety and wellness directly impacts risks inherent in law enforcement,” said Spencer.

## Recommendations

The following recommendations and those throughout the rest of this report are a summary of the forum participants' findings and are supplemented with additional documentation and resources where helpful or appropriate:

1. Local governments should establish specific criteria for selecting law enforcement executives who have the ability to shape organizational culture and practices with an emphasis on public safety that the public and officers can view as fair and just.
2. Law enforcement executives should manage risk by strengthening procedural justice practices internally and externally to ensure constitutional policing to reduce the number of incidents that could generate citizen complaints and lawsuits, thus protecting both the agency and its officers.
3. Professional law enforcement associations should provide education, research, and practical tools for law enforcement leadership, and these resources should focus on the use of data, model policies, best practices, training, and supervision to improve outcomes for the public and for officers.
4. Law enforcement executives should ensure that all ranks throughout the agency take leadership training, and training providers should include critical thinking skills and problem solving in their leadership training courses.

## Accreditation of law enforcement agencies

Various forum participants discussed how the Commission on Accreditation for Law Enforcement Agencies (CALEA) has helped improve their agency's delivery of public safety. "CALEA has been a key change factor. I speak from experience," said Tim Richardson, senior legislative liaison, Fraternal Order of Police. "There is a level of confidence in the quality of the agency as a result of CALEA accreditation."

Created in 1979 by the International Association of Chiefs of Police (IACP), National Organization of Black Law Enforcement Executives (NOBLE), National Sheriffs' Association (NSA), and Police Executive Research Forum (PERF), CALEA offers accreditation programs<sup>25</sup> that help improve local, state, territorial, and tribal law enforcement agencies' delivery of public safety services by "maintaining a body of standards developed by public safety practitioners covering a wide range of up-to-date public safety initiatives, establishing and administering an accreditation process, and recognizing professional excellence."<sup>26</sup> To be more specific, CALEA states on its website that its goals are to

- strengthen crime prevention and control capabilities;
- formalize essential management procedures;
- establish fair and nondiscriminatory personnel practices;

---

25. "Programs," CALEA, accessed November 16, 2017, <http://www.calea.org/content/programs>.

26. "The Commission," About Us, CALEA, accessed May 31, 2017, <http://www.calea.org/content/commission>.

- improve service delivery;
- solidify interagency cooperation and coordination; and
- increase community and staff confidence in the agency.<sup>27</sup>

Through CALEA’s accreditation process, law enforcement agencies voluntarily demonstrate that they meet that established body of standards developed by public safety practitioners. For example, to achieve CALEA accreditation, agencies must have written directives that are clear, comprehensive, and consistent; a preparedness program in place for critical incidents; a plan for building or strengthening its relationship with its communities; and a continuum of standards that “clearly define authority, performance, and responsibilities.”<sup>28</sup> CALEA also requires agencies to have standards in place that facilitate the creation of reports and analyses that enable informed and fact-based management decisions; that meet internationally recognized law enforcement standards that limit the agency’s liability and risk exposure; and that further all personnel’s “pursuit of professional excellence.”<sup>29</sup>

---

Through CALEA’s accreditation process, law enforcement agencies voluntarily demonstrate that they meet that established body of standards developed by public safety practitioners.

---

In addition to helping law enforcement agencies improve their delivery of public safety services, CALEA accreditation also reduces law enforcement operations’ risk factors and thus reduces costs, as two studies demonstrated. For the first study, the Tennessee Municipal League (TML) Pool, a risk management product and service provider, compared the loss histories of 28 TML-insured agencies—five that achieved CALEA accreditation and 23 that were never accredited—for a period of eight years (1994–2002). This study found that accredited agencies performed better (from 11.0 to 60.3 percent) in workman’s compensation, law enforcement liability, police auto liability, and police auto physical damage.<sup>30</sup>

The second study, conducted by the Colorado Intergovernmental Risk Sharing Agency (CIRSA), compared the property and casualty claims as well as the workers’ compensation claims of 44 law enforcement agencies—22 that were state and CALEA accredited and 22 that were not accredited—for three years, from 1999 through 2001. The CIRSA study found that the accredited agencies had

---

27. “The Commission,” CALEA (see note 26).

28. “The Commission,” CALEA (see note 26).

29. “The Commission,” CALEA (see note 26).

30. Tennessee Municipal League, internal communications, (n.d.), as summarized in “Two Risk Management Studies Support Accreditation,” CALEA, accessed July 14, 2017, <http://www.calea.org/content/two-risk-management-studies-support-accreditation>.

8.3 percent fewer property and casualty claims and 7.5 percent fewer workman’s compensation claims per full-time officer, and officers of accredited agencies incurred 52.2 percent less costs for property and casualty claims.<sup>31</sup>

Being accredited shows that a law enforcement agency is intentional and rigorous in its professional practices. However, while discussing CALEA and accreditation standards, forum participants raised concerns about the lack of data collection and transparency requirements for officer-civilian interactions such as use of force and suggested that CALEA should establish such additional standards and require them for accreditation.

Forum participants were also concerned about the fact that the majority of U.S. agencies struggle with accreditation simply because of their small size. According to a 2008 Bureau of Justice Statistics census, approximately 8,800 state and local law enforcement agencies (49 percent of all U.S. agencies) were small—i.e., they employed fewer than 10 full-time officers. And 13,000 state and local agencies (73 percent of all U.S. agencies) employed fewer than 25 full-time officers.<sup>32</sup> Furthermore, CALEA estimated in 2004 that less than 100 small agencies (those with 1–24 total personnel) were CALEA participants.<sup>33</sup>

The challenges that small agencies face when seeking accreditation include lacking enough personnel to handle the entire process and, accordingly, having smaller budgets that cannot cover the associated costs of accreditation, such as fees, attendance at conferences, and onsite assessments. To help overcome budget issues, CALEA recommends that small agencies apply for CALEA grants, consider using nontraditional revenue sources such as asset forfeiture, and inquire if their insurance providers would cover accreditation fees.<sup>34</sup>

### Recommendations

1. CALEA should make data collection on officer-civilian interactions mandatory for accreditation.
2. Risk managers, local governments, and law enforcement associations should promote accreditation for all law enforcement agencies and find ways to support smaller agencies becoming accredited.

---

31. Bob Pomeroy, Senior Loss Control Representative, “Claims Comparison of Accredited Member Police Departments and Non-Accredited Member Police Departments,” memorandum sent to CIRSA Police Liability Committee Members, December, 11, 2002, as summarized in “Two Risk Management Studies,” CALEA (see note 30).

32. Brian A. Reaves, *Census of State and Local Law Enforcement Agencies, 2008* (Washington, DC: Bureau of Justice Assistance, June 2007), 2, 13, <https://www.bjs.gov/content/pub/pdf/cslllea08.pdf>.

33. “Accreditation for Small Law Enforcement Agencies,” CALEA, accessed July 9, 2017, <http://www.calea.org/calea-update-magazine/issue-101/accreditation-small-law-enforcement-agencies>.

34. “Accreditation for Small Law Enforcement Agencies,” CALEA (see note 33).

## Certification and decertification of officers

In addition to discussing the accreditation of law enforcement agencies, forum participants also talked about individual officers obtaining certification. “Are we really a profession?” asked Daniel Zivkovich, executive director, Municipal Police Training Committee, Massachusetts. “We treat ourselves as a vocation more than a profession. We need to hold ourselves accountable through standards and certification and accreditation.”

Linsay Hale, professional standards director, Oregon Department of Public Safety Standards and Training, offered such an example by sharing her state’s requirements for officers:

Oregon has a system of state standards that every police officer must meet and maintain throughout their career in Oregon, regardless of which agency they work for. Officers must attend a centralized basic training academy and must demonstrate competencies through field training, which allows for focused training on the geographic and demographic differences within the communities and the police agencies themselves. That is where the simplicity ends. As the regulatory agency, we seek to help our agency partners in any way we can, including through transparency and accountability that increases the public’s trust in its law enforcement.

One well-known resource for officer certification is the International Association of Directors of Law Enforcement Standards and Training (IADLEST), which works with the state Peace Officer Standards and Training (POST) agencies and local law enforcement training academies to certify that officers achieve the minimum standards for training before being licensed to serve.

---

“We treat ourselves as a vocation more than a profession. We need to hold ourselves accountable through standards and certification and accreditation.”

---

“IADLEST used to be just an association of POSTS,” said Zivkovich, who in addition to being executive director of the Municipal Police Training Committee was then also the president-elect of IADLEST. “We now have a defined role in certifying law enforcement training. Because training and standards play a significant role in addressing factors that create risk, IADLEST has taken a more active role to facilitate best practices in law enforcement standards and training.”

IADLEST has three programs that help to uphold accreditation standards and address risk:

1. **National Certification Program.** Launched in 2015 for police training agencies and academies, this program validates police training curricula. To be more specific, this program “sets minimum standards for vendors providing police continuing education and ensures training content meets those quality standards” that either meet or exceed the certification requirements in each state so that all POST organizations will accept IADLEST training.<sup>35</sup>
2. **National Decertification Index.** In this searchable national registry, state government agencies add officer certificate or license actions related to misconduct. The registry provides agencies with information about a potential employee’s previous history of officer misconduct and subsequent decertification so that the agency can make an informed hiring decision.<sup>36</sup> However, forum participants raised concerns about law enforcement agencies’ limited awareness and use of the National Decertification Index and how that translates into agencies unknowingly hiring officers who are sanctioned or have their certification or licenses revoked.
3. **National Law Enforcement Academy Resource Network (NLEARN).** All U.S. law enforcement training academies can access this network—which IADLEST and the National Highway Traffic Safety Administration jointly created—and its various resource services.<sup>37</sup>

One forum participant, however, stated that the National Institute of Justice needs to conduct more research on the effectiveness of law enforcement training: “Training may change mindset, but there is little to no evidence that training will change the behavior of police officers,” said Jim Baker, director of Advocacy, International Association of Chiefs of Police.

### Recommendations

1. State police officer standards and training agencies should promote the use of the National Decertification Index by encouraging law enforcement agencies not only to register officers whose certifications have been revoked or who had licensing actions taken against them but also to check the registry as part of the hiring process.
2. Professional law enforcement associations should promote training vendors’ use of the National Certification Program to validate the quality of their law enforcement training.
3. The National Institute of Justice should continue to research the effectiveness of law enforcement training content and training methodologies to ensure those that have the most impact on officer performance, safety, and wellness are promoted as effective.

---

35. “General,” FAQs, National Certification Program, accessed November 29, 2017, <http://iadlest-ncp.org/frequentlyaskedquestions>.

36. “About NDI,” Our Services, IADLEST.org, accessed October 22, 2018, <https://www.iadlest.org/our-services/ndi/about-ndi>.

37. “NLEARN,” Our Services, IADLEST.org, accessed October 22, 2018, <https://www.iadlest.org/our-services/nlearn/about-nlearn>.

## Recruiting and hiring the right people

Forum participants were clear that recruitment and hiring are important components of an integrated risk management approach in law enforcement. While acknowledging the importance of training, Mark Spencer, inspector general, Prince George’s County Sheriff’s Department, emphasized that the focus in the hiring process is increasingly on the “thinking” part of policing. “It comes down to the kinds of people and their exercise of great judgment,” said Spencer.

Forum participants agreed that risk management begins with the selection of officers, with the opportunity to screen out inappropriate candidates based on attitudes, egos, mental health profiles, and other criteria. Law enforcement agencies have to begin with the end in mind and do so by asking the following questions: What kind of officer does the agency and community need? How does the agency update its recruitment and hiring methods to match changing expectations and technology? How does the agency hire officers who can protect and serve? How does the agency reflect the diversity of its communities and develop cultural awareness? And how does the agency promote officer safety and wellness and help its officers to deal with substance abuse or mental health issues?

---

The focus in the hiring process is increasingly on the “thinking” part of policing.

---

Moreover, even though forum participants agreed on the importance of choosing quality recruits, participants raised concerns about the lack of applicants in general. “Hiring officers is becoming more and more of a problem. We have departments that have significant vacancies because they can’t get people to apply,” said Bryan Leaird, director, Risk Management Field Services, North Carolina League of Municipalities. “There used to be a yearlong waiting list in North Carolina to get into the training academy; now we have classes we can’t fill. Many chiefs are just looking for a warm body to fill the uniform.” But that warm body may not be the best fit for the agency and community.

To help answer these questions and address the lack of applicants, the Office of Community Oriented Policing Services has developed a number of relevant projects and publications that help inform the field and update best practices in recruiting and hiring officers. For example, the publication *Law Enforcement Recruitment in the 21st Century: Forum Proceedings*<sup>38</sup> focuses on ways to improve recruitment programs, practices, and strategies with an emphasis on diversity; to better understand how the image of law enforcement impacts recruiting efforts; and to provide action steps for developing and enhancing recruitment strategies. Another publication, *Hiring for the 21st Century Law Enforcement*

---

38. James E. Copple, *Law Enforcement Recruitment in the 21st Century: Forum Proceedings* (Washington, DC: Office of Community Oriented Policing Services, 2017), <https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0830>.

*Officer: Challenges, Opportunities, and Strategies for Success*,<sup>39</sup> focuses on specific strategies during the hiring process, such as psychological screening, educational requirements, promotion policies, and methods for retaining the best officers.

Another concern forum participants identified was that while agencies are hiring and training recruits under a new paradigm, agencies also have experienced officers hired and trained under different paradigms, which can make it difficult for the entire agency to work as one cohesive unit and can have implications on retention. Leadership must then face the challenges of reconciling officers' different methodologies, mindsets, and contributions to police culture.<sup>40</sup> One possible solution is the implementation of mandatory in-service trainings that use training methodologies similar to those in the academy.

### Recommendations

1. Law enforcement agencies should be intentional about tracking emerging best practices in recruiting and hiring officers.
2. The DOJ should continue to research the challenges facing law enforcement agencies in the screening and hiring of the most appropriate candidates as officers.
3. Risk managers, local governments, and law enforcement agencies should work together to establish recruitment and hiring strategies to attract the most appropriate candidates.

### Proper use and implementation of model policies

Law enforcement agencies are implementing and testing a number of new and emerging model policies that address areas of potential risk. Increasingly, these model policies are now articulating the importance of practicing procedural justice, which addresses fairness and transparency both internally across all ranks and externally as a standard for interactions with the community. A particular topic of discussion at the forum, procedural justice has four central principles—“treating people with dignity and respect, giving citizens ‘voice’ during encounters, being neutral in decision-making, and conveying trustworthy motives”—all of which help community members to trust law enforcement, to feel obligated that they obey the law, and to feel like they and their law enforcement agency share common values.<sup>41</sup> In other words, reducing incidents of unfairness and discrimination (either perceived or real) will decrease civilian complaints and legal claims from civil rights violations and other harms.

---

39. Kevin P. Morison, *Hiring for the 21st Century Law Enforcement Officer: Challenges, Opportunities, and Strategies for Success* (Washington, DC: Office of Community Oriented Policing Services, 2017), <https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0831>.

40. Cynthia Lum et al., *An Evidence-Assessment of the Recommendations of the President's Task Force on 21st Century Policing: Implementation and Research Priorities* (Fairfax, VA: Center for Evidence-Based Crime Policy, George Mason University, 2016), 38, <http://cebcp.org/wp-content/evidence-based-policing/IACP-GMU-Evidence-Assessment-Task-Force-FINAL.pdf>.

41. “Procedural Justice,” National Initiative for Building Community Trust and Justice, accessed May 31, 2017, <https://trustandjustice.org/resources/intervention/procedural-justice>.

To provide an example of how these four principles help make everyone safer and the public more satisfied, forum participant Theron Bowman, deputy city manager, City of Arlington, Texas, mentioned that these principles, which also apply outside of the law enforcement field “to librarians, code enforcement officers, and other public servants,” are “significantly reducing negative experiences and risks” and are “keeping our code enforcement officers safe.”

Policies that establish local oversight strategies such as civilian review boards, serious incident reviews, peer evaluations of near-miss or critical events, and early warning systems can help to focus attention on risk areas that have the potential to create the most harm. For example, serious incident reviews seek to understand the root causes and systemic breakdowns of a critical incident, such as an officer-involved shooting, that causes negative results or harm to the public or to the officer. By identifying and problem solving the root causes, it is possible to reduce future risk and thus future problems for the law enforcement agency, the local government, and the public.

Forum participants also discussed the lack of research measuring the effectiveness of law enforcement policies and practices. “Put simply, there is not enough evidence for the law enforcement field to draw from. This means we, as a field, rely on cities and police executives to assume a leadership role in creating the evidence, given their own context and experiences,” said Nancy Rodriguez, former director, National Institute of Justice. “We are creating the evidence and [thus] need to review policies regularly to see if they match up with the existing body of knowledge.”

Jim Baker, director of Advocacy, International Association of Chiefs of Police, also commented on this lack of research: “We are not saying if there is no research, don’t do it; rather, we have to learn from what we’re doing. What Seattle is doing would be a great place to evaluate whether or not we can see an impact. Our efforts around CIT [crisis intervention team] training and impartial bias-free policing have no research yet to show that they have impact.”

---

“We are not saying if there is no research, don’t do it;  
rather, we have to learn from what we’re doing.”

---

Another forum participant discussed the dangers of not enforcing and monitoring policies and procedures: “Agencies need to have policies and procedures in place and follow them,” said Paul MacMillan, northeast regional programs manager, Commission on Accreditation for Law Enforcement Agencies. “The exposure for risk has to do with a lack of enforcement of policies and procedures as well as a lack of follow-up to monitor policies and procedures, such as an early warning system or ensuring training is completed and documented. What I have seen in the past is that things don’t just happen; agencies don’t all of a sudden have a problem. There is something underneath that has been brewing, and agencies tend to ignore these types of things.”

Forum participants cautioned that law enforcement agencies should monitor the effects of policies and enforcement practices from the moment of implementation because some policies adopted in the past have had mixed results: e.g., some stop-and-frisk policies have resulted in disparate policing outcomes and a sense of communities being over-policed or oppressed. Monitoring should include collecting information to identify positive or negative results and gathering input from officers, community members, local government officials, and other professionals within the criminal justice system about their perceptions of the policies and practices. Surveys, focus groups, comment boxes (virtual and paper-based), and social media platforms can provide important, up-to-date information about how the community experiences law enforcement policies and practices.

Andrew Myerberg, assistant city attorney, City of Seattle, shared with the other forum participants an example of the Seattle Police Department updating its policies based on its experiences, but the department needs more information to assess the impact of those changes. “We have had daily protests in Seattle. The World Trade Organization demonstrations changed how we manage protests. Crowd management policies in Seattle are best practices, but we still have lawsuits. We can be doing things as well as can be asked for. We are changing culture. But numbers-wise, I don’t know if we are seeing a difference yet,” he said.

One other issue identified by forum participants concerned unintended consequences and potential risks of new programs, such as the role of police in schools as news accounts have shown.<sup>42</sup> Such high-profile incidents in schools demonstrate the necessity of close monitoring to avoid inappropriate use of force on children and to reduce the school-to-prison pipeline.<sup>43</sup>

## Recommendations

1. The DOJ should support research and dissemination of key learnings on the effects of policies implemented at the local level.
2. The DOJ should provide information on how law enforcement agencies and local governments can monitor the impact of the implementation of policies through data collection, surveys, and research.

---

42. Tim Steloch and Tracy Connors, “Video Shows Cop Body-Slamming High School Girl in S.C. Classroom,” *NBC News*, October 27, 2015, <https://www.nbcnews.com/news/us-news/video-appears-show-cop-body-slamming-student-s-c-classroom-n451896>.

43. Fania E. Davis, “Interrupting the School to Prison Pipeline Through Restorative Justice,” *Huffington Post*, last modified October 5, 2016, [https://www.huffingtonpost.com/fania-e-davis/interrupting-the-school-t\\_b\\_8244864.html](https://www.huffingtonpost.com/fania-e-davis/interrupting-the-school-t_b_8244864.html); Tierney Sneed, “School Resource Officers: Safety Priority or Part of the Problem?” *U.S. News and World Report*, January 30, 2015, <https://www.usnews.com/news/articles/2015/01/30/are-school-resource-officers-part-of-the-school-to-prison-pipeline-problem>.

## Enhanced training

Forum participants discussed how some states lack sufficient requirements for recruits to become certified police officers. “In North Carolina, it takes more hours to be certified as a barber than to be certified as a police officer,” said Bryan Leaird, director, Risk Management Field Services, North Carolina League of Municipalities.

By certifying training curricula used in police academies and state POSTs nationwide, IADLEST seeks to address risks in law enforcement and ways in which mitigating those risks can and should inform police training and standards (see the “Certification and decertification of officers” section on page 20).

Training for new and current law enforcement officers has expanded to address issues such as constitutional policing, crisis intervention, procedural justice, implicit bias, de-escalation, nonlethal force alternatives, mass demonstration management, driving, and traffic safety.

---

“In North Carolina, it takes more hours to be certified as a barber than to be certified as a police officer.”

---

“Implicit bias training for new recruits is an important training priority before they are placed in the field,” said forum participant Carlton Mayers II, policy counsel, Police Reform Campaign, NAACP Legal Defense and Education Fund. “Use it as a way to identify the biases of recruits in advance, and then provide them with some additional training or counseling to engage people who look different from them and have an entirely different perspective.”

This type of training is helping to change the law enforcement culture by shifting the focus from only enforcement to protecting and serving, maintaining officer safety and wellness, and increasing cultural awareness. For example, Blue Courage, which is both a philosophy and a workshop, is training thousands of law enforcement officers on “self-improvement, increased engagement, stress-management, developing resilience, igniting culture change, combatting cynicism, while improving overall health and well-being.”<sup>44</sup> Training like Blue Courage is needed to validate law enforcement officers’ core commitment to protecting and serving and doing so with nobility, while also addressing growing concerns about the nature of police-community interactions.

Unfortunately, small law enforcement agencies face unique challenges in training officers. Their budgets are often insufficient to provide funds for enhanced training, and limited staffing makes finding time off for such training a challenge even when that training is free. One forum participant said that these issues cannot continue holding agencies and their officers back from advancement: “Texas has 1,200 agencies with five officers or less, but that is no excuse for them not being well trained,” said Kim Vickers, executive director, Texas Commission on Law Enforcement. “We need to be proactive to address the challenge of making training accessible to our small agencies.”

---

44. “About Us,” Blue Courage, accessed December 11, 2017, <http://bluecourage.com/about-us/>.

Perry Tarrant, president, National Organization of Black Law Enforcement Executives, reminded the other forum participants about the consequences of officers not receiving training like Blue Courage. “If you don’t invest in training on the front end, you will pay for it afterwards,” such as through lawsuits. On the other hand, Tarrant also stated how, “in Seattle, nearly 10,000 police contacts are with people experiencing some type of mental health crisis. Because of extensive de-escalation training and CIT training, we have seen fewer incidents of use of force and injuries to persons with mental health issues or to the officer.”

Forum participants raised another issue of concern: The Center for Evidence-Based Crime Policy’s study of the task force report raises the point that little research supports the assumption that training changes behavior. However, research on adult learning theory suggests that hands-on and problem-solving learning approaches foster skills and knowledge that translate back into behavior change.<sup>45</sup>

### Recommendations

1. The DOJ should support research on the effectiveness of training to reduce or manage risks in a public safety setting.
2. Training agencies should use best practices in adult learning theory to integrate scenario-based hands-on learning experiences into law enforcement training and in-service training methodology to enhance officers’ skills and behavior.
3. Law enforcement agencies and local governments should budget for trainings that address risk management priorities, such as policing in a democratic society, implicit bias, use of force, de-escalation, driving safety, and officer safety and wellness.

### Developing appropriate systems of supervision and review

Law enforcement supervisors play a significant role in risk management. According to forum participant Theron Bowman, deputy city manager, Arlington, Texas, when looking at the need for supervision as a risk management issue, the supervisory systems that law enforcement agencies have in place “have to be robust and self-correcting and give the individual supervisors some risk management responsibility. When supervisors don’t correct inappropriate behavior, that becomes a problem in the culture of a policing organization.” When officers break with policy to use force when they could have de-escalated, when they could have waited for a second line supervisor to show up, and when they do not have to face consequences or review systems—that type of culture creates risk.

A supervisor has to address an officer’s unnecessary use of force or any other policy violation. Supervisors can use roll call trainings to emphasize the importance of key policies and procedures on a regular basis. However, an agency as a whole should emphasize consistent policy reinforcement and education, as well as policy enforcement and violation consequences, to shape the agency’s culture. As

---

45. Lum et al., *Evidence-Assessment of the Recommendations* (see note 40).

one forum participant summarized, training plays a big part in influencing officers in terms of both their skills and mindset. “The quality of training and who does the training is critical,” said Kim Vickers, executive director, Texas Commission on Law Enforcement.

Moreover, supervisors themselves need training and support to help them understand the importance of their role in contributing to positive agency culture, improving officers’ delivery of public safety, and minimizing risks. Law enforcement executives need to pay attention to the mentoring and development of supervisors. Promotion to a supervisory role does not mean that officer now has the skills to properly mentor and supervise others; that new level of responsibility is not taught in the basic academy. “One area we need to focus on is training first-line supervisors and middle management. If you don’t have their buy in, you won’t succeed,” said Vickers.

---

“When supervisors don’t correct inappropriate behavior, that becomes a problem in the culture of a policing organization.”

---

### Recommendations

1. Law enforcement executives should review and strengthen agency expectations, training, support, and positive reinforcement for law enforcement supervisors.
2. Law enforcement training providers should educate and prepare line supervisors for their role in risk identification, risk mitigation, and risk management.
3. Law enforcement executives and local governments should budget for training supervisors on how to use data to understand and monitor the behavior of officers in order to provide the proper level of positive reinforcement and correction when necessary.
4. Law enforcement training providers should develop training tools that supervisors can use in roll calls to reinforce agency policies and practices, especially those that help to reduce risk to officers and the public.

### Sentinel event reviews and early warning systems

In 2011, the National Institute of Justice (NIJ) began exploring the possibility of incorporating sentinel event reviews (SER) into the criminal justice system. A sentinel event is a negative incident, such as an officer-involved shooting or even a near miss, that probably resulted from multiple, combined errors within the system and that, if reviewed, could help strengthen the system and help avoid potential

future risks.<sup>46</sup> As for the SERs, medicine and aviation already use this process to undergo a thorough analysis of actions and events leading up to and following a large-scale event such as a plane crash or attack. When applied to the criminal justice field, this review process

brings together all of the system's stakeholders (law enforcement, crime laboratory personnel, prosecutors, defense lawyers, judges, corrections officials, victim advocates and others, depending on the event) to review the event and determine—through a deliberative, transparent, nonblaming process—how and why it happened and what can be done to prevent a similar outcome in the future.<sup>47</sup>

In short, the purpose of SERs is to address root or systemic causes of a procedure that threatened a life or created risk. However, some forum participants identified that sentinel event reviews are not without challenges, such as the fear of sharing information that litigants could potentially discover for use in lawsuits against law enforcement agencies; the amount of time needed to ensure all stakeholders have access to the event information; and the importance of having informed stakeholders, who understand the law enforcement profession, participating in any type of review process. Granted, SERs often happen after litigation is concluded, but there is still much that can be learned and addressed through updated policies, training, and monitoring.

One forum participant shared how Los Angeles County uses a process similar to SERs called corrective action plans that include not only medical input but also fire and mental health agencies in the review process: “From a patient safety standpoint, [the results, findings, or recommendations from the review] could be an observation that then gets implemented,” said Steven Robles, county risk manager, Los Angeles County. “On the law enforcement side, the corrective actions address our policies and training. We saw a fantastic improvement when we got the commanders involved; they were able to identify root causes in order to prevent critical incidents from being repeated.”

Forum participants also mentioned early warning systems, which provide a different approach to risk management. While SERs involve agencies conducting reviews after an incident, an early warning system is proactive in that this

data-based police management tool [is] designed to identify officers whose behavior is problematic and provide a form of intervention to correct their performance. As an early response, a department intervenes before an officer is in a situation that warrants disciplinary action. The system alerts the department to these individuals and warns the officers while allowing them to change their problematic behavior.<sup>48</sup>

---

46. Nancy Ritter, “Testing a Concept and Beyond: Can the Criminal Justice System Adopt a Nonblaming Practice?” *National Institute of Justice Journal* 276 (2015): 39–45, <https://www.ncjrs.gov/pdffiles1/nij/249218.pdf>.

47. Ritter, “Testing a Concept and Beyond,” 41 (see note 46).

48. Samuel Walker, Geoffrey P. Alpert, and Dennis J. Kenney, “Early Warning Systems: Responding to the Problem Police Officer,” *National Institute of Justice Research in Brief* (July 2001), 1, <https://www.ncjrs.gov/pdffiles1/nij/188565.pdf>.

Enabling these officers to correct their behavior could significantly reduce an agency's number of complaints, as, according to a 2001 NIJ research brief, police chiefs have come to believe that 10 percent of officers are responsible for 90 percent of problems: e.g., citizen complaints, firearm discharges, use of force, civil litigations, and pursuit and vehicular accidents.<sup>49</sup> To support this truism, the NIJ brief discusses how journals have reported as few as 2 percent of an agency's officers as causing more than 50 percent of citizen complaints.<sup>50</sup> In fact, in 1970 Herman Goldstein stated that problem officers "are well known to their supervisors, to the top administrators, to their peers, and to the residents of the areas in which they work" but that "little is done to alter their conduct."<sup>51</sup> The NIJ brief also highlights a 1981 recommendation from the U.S. Commission on Civil Rights that all law enforcement agencies institute an early warning system to determine who within their ranks are problem officers: i.e., "who are frequently the subject of complaints or who demonstrate identifiable patterns of inappropriate behavior."<sup>52</sup>

Overall, there is a lack of research about the effectiveness of early warning systems despite their increase in popularity, particularly in large law enforcement agencies.<sup>53</sup> However, the Center for Data Science and Public Policy at the University of Chicago partnered with the Charlotte-Mecklenburg Police Department in 2015 to create a prototype early warning system that would identify which officers and dispatchers were likely to have an adverse interaction during a period of two years. The results showed a 15 to 20 percent increase in the accuracy of the police department's system and a 55 percent reduction in false positives. This prototype has enabled the police department "to identify more officers early as well as reduce the risks and costs of interventions targeted at officers who are not at risk." As a result, the center is working on offering this prototype to several law enforcement agencies of various sizes.<sup>54</sup>

---

49. Walker, Alpert, and Kenney, "Early Warning Systems" (see note 48).

50. Don Terry, "Kansas City Police Go After Own 'Bad Boys,'" *New York Times*, September 10, 1991, <http://www.nytimes.com/1991/09/10/us/kansas-city-police-go-after-own-bad-boys.html?pagewanted=all>; see also Sean P. Murphy, "Wave of Abuse Claims Laid to a Few Officers; Boston Police Data Show Fourfold Rise," *Boston Globe*, October 4, 1992, <https://www.highbeam.com/doc/1P2-8761539.html>.

51. Herman Goldstein, *Policing a Free Society* (Cambridge, MA: Ballinger, 1977), 171, <https://ssrn.com/abstract=2596883>.

52. *Who is Guarding the Guardians?* (Washington, DC: U.S. Commission on Civil Rights, 1981), 81, <https://catalog.hathitrust.org/Record/007105152>.

53. Walker, Alpert, and Kenney, "Early Warning Systems," 2 (see note 48).

54. Rayid Ghani, "Developing Predictive Early Interventions/Warning Systems to Prevent Adverse Interactions with the Public," Early Warning/Intervention Systems for Police Departments, Center for Data Science and Public Policy, University of Chicago, accessed April 3, 2018, <https://dsapp.uchicago.edu/projects/public-safety/early-warning-and-intervention-systems-for-police-departments/>.

## Recommendations

1. Congress should advance legislation to facilitate a sentinel event review process within the law enforcement sector.
2. Local governments and law enforcement executives should develop a sentinel event review process in local law enforcement agencies.
3. The DOJ should provide guidance and tools to help law enforcement agencies develop effective early warning systems that reduce the risk of civilian complaints and legal claims.

## Police-community relations

Open communication and transparency help foster trust and healthy relations between the community, local government, and law enforcement. Because of this relationship, community members have a greater sense of safety and comfort in raising concerns to officers when an issue arises.

One forum participant shared how Minnesota officers support this type of relationship: “Right now in our small communities, there are officers that are interacting with kids coming out of school, having a conversation about life, talking with them in a park, and engaging in their communities’ needs, which is equally as effective for risk management compared to larger organizations and police forces who have the means to work on policies and procedures,” said David Unmacht, executive director, League of Minnesota Cities Insurance Trust.

---

“In our small communities, there are officers that are interacting with kids coming out of school, having a conversation about life, talking with them in a park, and engaging in their communities’ needs.”

---

Another forum participant discussed the potential consequences of weak police-community relationships, specifically how officers might expose themselves, and even their families, to threats. “Most cities have a policy that officers have name tags that can be viewed. Ferguson covered their name tags because people were attacking them verbally and threatening their families. How do you address accountability while also recognizing the threat to officers? Certainly that situation should have been a red flag that things were not right with police-community relations,” said one forum participant.

Ideally, the community should be co-producers of public safety, as Sir Robert Peel’s theory advocates that “the police are the public and the public are the police.”<sup>55</sup> In order for the community to assume this shared responsibility, law enforcement agencies can use police-community collaboration, in addition to using the SARA (scanning, analysis, response, and assessment) model, to identify potential

---

55. Sandy Nazemi, “Sir Robert Peel’s Nine Principals Applied to Modern Day Policing,” Los Angeles Community Policing, accessed July 9, 2017, <http://www.lacp.org/2009-Articles-Main/062609-Peels9Principals-SandyNazemi.htm>.

risk factors early. Community surveys, community meetings, focus groups, apps, websites, and social media provide various mechanisms to enable police-community collaboration and give voice to communities. Another mechanism includes citizen academies, which “can be an effective way of mitigating risk through nonthreatening engagement with the community, where learning and engaging each other works in both directions. It is a way to develop a co-commitment to public safety,” said forum participant Michael Ferrence Jr., then executive director, Major County Sheriffs’ Association.

### Recommendations

1. Local government and law enforcement should initiate and maintain open and transparent communication with the community through regular meetings, surveys, social media, and community policing.
2. Local government and law enforcement should engage the community in proactive public safety activities such as citizen academies, crime prevention efforts, problem-solving activities, explorer posts, and chaplaincy programs.
3. Local governments and law enforcement agencies should set up regular meetings with key populations that have the highest levels of risk for negative experiences with law enforcement to create an open platform for problem solving and communication.

### Use of force

Use of force incidents, especially officer-involved shootings of minorities and deaths in police custody, have become a flash point for police-community relations across the United States.

Similar to officers protecting and serving the community, risk managers should also be interested in ensuring public safety, as many lawsuits with high payouts are related to use of force claims. More efficient public safety translates into fewer police-community interactions that result in serious injury or loss of life for both the officer and the community.

Law enforcement agencies are starting to rethink and revise use of force policies and are instituting training on a range of related topics to help improve outcomes while preserving the safety of officers. Procedural justice, implicit bias training, de-escalation, less-than-lethal use of force, policing in a democratic society, and constitutional policing are examples of strategies to reduce injury and death across the board.

---

In order for the community to assume this shared responsibility, law enforcement agencies can use police-community collaboration, in addition to using the SARA (scanning, analysis, response, and assessment) model, to identify potential risk factors early.

---

“Training reduces liability for everything,” said forum participant Margo Ely, executive director, Intergovernmental Risk Management Agency. “So our focus at IRMA in the last six months has been on de-escalation of both verbal and tactical interactions. Police officers need to be trained further on when it is appropriate to walk away. Sometimes you can leave a scene and not charge anyone. I think that is antithetical to the historical training they have received. I think walking away in certain cases could certainly reduce liability,” she said.

On the other hand, one forum participant raised concerns about training increasing the risk that officers stop actively policing because they have a heightened sense of fear of making a mistake and the potential consequences of that mistake: “We can’t discount the flip side where officers become risk averse. Proactivity can be trained out of officers, which also impacts the quality of relationships and has other unintended consequences. When we talk about use of force being revisited, we are not talking about putting officers in an unsafe situation,” said Dan Zivkovich, executive director, Municipal Police Training Committee, Massachusetts. It is important to note that researchers are exploring what, if any, connection exists between negative police-community interactions or critical incidents, such as an officer-involved shooting, and changes in officer behavior that result in withdrawing from proactive policing.<sup>56</sup>

### Recommendation

1. Risk managers, local governments, and law enforcement agencies should work together to review, refine, and monitor policies that are closely related to high-risk law enforcement actions such as use of force, mass demonstrations, stop and frisk, and patterns of profiling.

### Officer safety and wellness

While risk managers are interested in more efficient public safety helping to reduce lawsuits filed by community members, risk managers are also concerned about harm and injury to officers and improving outcomes for officers across all risk factors. “The risk of each individual officer is directly correlated to the quality of risk management overall,” said forum participant Jessica Vanderpool, director, Special Projects, National Sheriffs’ Association.

Lawsuits filed by officers against law enforcement agencies and local governments can include violations of officer rights, injuries or death on the job, and negative mental and physical health impacts. By working together with local governments and law enforcement agencies, risk managers can help to inform and advocate for budgets to support better risk management policies, practices, training, and

---

56. Edward R. Maguire, Justin Nix, and Bradley A. Campbell, “A War on Cops? The Effects of Ferguson on the Number of U.S. Police Officers Murdered in the Line of Duty,” *Justice Quarterly* 34, no. 5 (2016): 739–758, <http://dx.doi.org/10.1080/07418825.2016.1236205>; Angela T. Hall, Robert Zinko, Alexa A. Perryman, and Gerald R. Ferris, “Organizational Citizenship Behavior and Reputation: Mediators in the Relationships between Accountability and Job Performance and Satisfaction,” *Journal of Leadership & Organizational Studies* 15, no. 4 (2009): 381–392, <http://journals.sagepub.com/doi/pdf/10.1177/1548051809331504>.

equipment. “The National Sheriffs’ Association is looking at risk management as a part of officer safety and wellness. We need to make sure there is access to services to deal with the real pressures they experience,” said Ms. Vanderpool.

Another forum participant agreed with Ms. Vanderpool: “The mental health and physical health of police officers is vital for our communities and a duty we owe to [officers] to make sure they come home the way that they came to work,” said Barry Scott, risk manager, City of Philadelphia. “We need to invest in and pursue that more aggressively, especially in the mental health area. We, as the communities that employ officers, need to support [officers] the best way we can,” he said.

Forum participants discussed three specific areas of officer safety and wellness: (1) traffic-related injury or harm, (2) bulletproof vests, and (3) officer mental health support systems. First, excessive speed, lack of seat belt use, and distracted driving are contributing factors to a majority of officer-involved accidents, which affect both officers and the public. Lack of reflective traffic safety vests can also contribute to officers being struck while out of their vehicles during traffic stops or other functions. Forum participants also raised the issue that motorcycles, bicycles, and Segways can be more dangerous than cars when it comes to safety, as officers are vulnerable to injury if they run into something while riding any of these vehicles or are thrown from them. Thus, law enforcement agencies should also monitor the risks associated with these vehicles to determine if policy updates regarding their use are necessary.

Second, law enforcement and corrections officers have a new resource for determining how to purchase high-quality, life-saving body armor. PoliceArmor.org features news about the Bureau of Justice Assistance's Bulletproof Vest Partnership funding and information on NIJ-compliant body armor.<sup>57</sup>

Another program, Below 100, helps address both the first and second areas by offering common-sense training and awareness aimed at reducing preventable line-of-duty deaths to fewer than 100 per year. With a focus on improving officer safety, Below 100 promotes five tenets: (1) wear your belt, (2) wear your vest, (3) watch your speed, (4) WIN: what’s important now, and (5) remember: complacency kills.<sup>58</sup>

Third, many law enforcement agencies are beginning to make mental health and physical health issues even more of a priority to address the long-term risks to morbidity and mortality. Incidents like the Pulse nightclub shooting in Orlando, Florida;<sup>59</sup> the ambush shooting of officers in Dallas<sup>60</sup> and Baton Rouge,

---

57. "Bulletproof Vest Partnership (BVP) Program," Programs, Bureau of Justice Assistance, accessed May 31, 2017, [https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=82](https://www.bja.gov/ProgramDetails.aspx?Program_ID=82).

58. “The 5 Tenets,” Tools and Resources, Below 100, accessed November 29, 2017, <http://below100.org/the-5-tenets>.

59. Frank Straub, et al., *Rescue, Response, and Resilience: A Critical Incident Review of the Orlando Public Safety Response to the Attack on the Pulse Nightclub*, Critical Response Initiative (Washington, DC: Office of Community Oriented Policing Services, 2017), <https://ric-zai-inc.com/Publications/cops-w0857-pub.pdf>.

60. “Sniper Ambush Kills 5 Officers, Injures 7 in Dallas Following Peaceful Protest,” *NBC 5*, July 7, 2016, <https://www.nbcdfw.com/news/local/Protests-in-Dallas-Over-Alton-Sterling-Death-385784431.html>.

Texas;<sup>61</sup> or the Oakland, California, warehouse fire<sup>62</sup> can cause extreme post-traumatic stress for first responders. Forum participant Sean Smoot, director and chief legal counsel, Police Benevolent and Protective Association of Illinois, shared one example of an officer mental health program that helps officer deal with such incidents:

A lot of departments are implementing ‘circuit breaker’ systems that assist officers who are involved in certain types of critical incident calls, like infant deaths, gruesome accident scenes, and life-threatening encounters. The officers are immediately given paid time off and referred to mental health services. Through policies or contractual wellness provisions, this process becomes routine or the standard operating procedure, which minimizes stigma. Failure to take care of our officers can have downstream effects: PTSD sets in, or the next call goes bad—we have all seen examples of that.

Similarly, law enforcement agencies like the Indianapolis Metropolitan Police Department developed a comprehensive approach to dealing with the negative impacts of the job on the physical and mental health of officers. It is designed to troubleshoot problems before they become a crisis and to help officers with all kinds of issues—such as concerns about finances, family, mental health, substance abuse, and other addictions—using peer counseling and expert technical support as needed.

---

“Failure to take care of our officers can have downstream effects.”

---

One forum participant discussed how the chief and executive leadership are responsible for creating a culture in which officers know they can seek mental health assistance and not be penalized for needing such help: “I have seen a chief say that PTSD is malingering; it is frowned upon. Leadership is the key to giving [officers] permission to have issues and have avenues for officers to get help,” said Mark Spencer, inspector general, Prince George’s County Sheriff’s Department.

Other forum participants stated that, in addition to leadership’s role in promoting officer wellness, labor unions play a significant part in moving risk management forward, as they provide a platform for officer support systems, peer review and early warning mechanisms, and advocacy for officer rights and services. “At the police union level, we are looking at ways to foster officers taking care of each other,” said Smoot. “In many cases after a terrible incident occurs involving an officer, if you talk to their co-workers, you will find that they knew the officer was vulnerable based on statements made or behavior

---

61. Debbie Elliot, “Gunman Who Ambushed Baton Rouge Officers Searched for Police Home Addresses,” *NPR*, June 30, 2017, <https://www.npr.org/sections/thetwo-way/2017/06/30/535093321/gunman-who-ambushed-baton-rouge-officers-searched-for-police-home-addresses>.

62. “How the Oakland Ghost Ship Fire Coverage Unfolded,” *San Francisco Chronicle*, n.d., <http://projects.sfchronicle.com/2016/oakland-fire-coverage/>.

observed. Right now there is no safe way for officers to intervene or provide insight that a particular officer is having an issue that may place them at risk. There are systems like that in place in other professions like the legal and medical professions. And we should have them in policing.”

### Recommendations

1. Risk managers should work closely with law enforcement to strengthen policies, practices, and training on driving safety and efforts to reduce traffic-related injuries and deaths.
2. Risk managers, local governments, law enforcement agencies, and unions should work together to prioritize efforts to improve officer safety and wellness, including physical and mental health.
3. Law enforcement unions can encourage their members to follow safe driving practices by reducing speed and using seatbelts as well as wearing bulletproof vests.

# Tools for Shared Risk Management

## Reducing silos

Many forum participants emphasized the need for all parties to work together to improve communication and collaboration between local governments, risk managers, law enforcement agencies, unions, and the community. Such teamwork in developing comprehensive risk profiles will improve outcomes for the public, officers, and the community as a whole.

“The challenge is for us to work together between the law makers, risk managers, and police leaders,” said Barry Scott, risk manager, City of Philadelphia. “The silo piece affects us; we need to bring down the silos to improve communication and understand the statistics and how it can inform our integrated responses. These are systemic issues and not isolated situations.”

Kanya Bennett, legislative council, American Civil Liberties Union, agreed: “There is a need for collaboration, for individuals and organizations to work outside their silos. There is real value in having these conversations. We need to continue these conversations.”

---

“There is a need for collaboration, for individuals and organizations to work outside their silos. There is real value in having these conversations. We need to continue these conversations.”

---

One forum participant emphasized the importance of gaining support from city leaders: “I was a city manager and a county administrator,” said David Unmacht, executive director, League of Minnesota Cities Insurance Trust. “If we want action for changing practices and resources for training, our audience for action is the city council and administration—it is with the leaders in our cities. We ought to fund, we ought to implement, we ought to read the task force report.”

Hadi Sedigh, associate legislative director, Justice & Public Safety, National Association of Counties, reiterated that the NACo, which unites 3,069 U.S. county governments,<sup>63</sup> is committed to teamwork across silos: “NACo is an enthusiastic partner to build bridges with county officials in order to reduce risk and strengthen public safety services.”

---

63. “About NACo,” National Association of Counties, accessed April 3, 2018, <http://www.naco.org/what-we-do/about-naco>.

## Use of incentives and disincentives

During the forum, participants asked the following: “What kinds of incentives can we use to improve officer safety?”

Two participants responded with examples of such incentives: “We give premium credits, which reduce payments in the following year, based on claims,” said Matthew Peter, senior attorney, Local Government Insurance Trust. Margo Ely, executive director, Intergovernmental Risk Management Agency, said, “We deduct premiums based on positive loss histories. We also have a robust grant program including grants for the purchase of Tasers, bulletproof vests, and medic kits.”

Forum participants also raised a few concerns and cautions related to incentives and disincentives. For example, denying officers help deters them from helping others: “Suicide—we don’t have a clear picture on that. Workers compensation does not recognize PTSD as a legitimate issue; it is a fight all the time to have this conversation with the state and with insurance carriers. It is a procedural justice issue; you can’t expect officers to treat the community with respect if they feel they are not being treated fairly,” said Jim Baker, director, Advocacy, International Association of Chiefs of Police.

---

“Workers compensation does not recognize PTSD as a legitimate issue; it is a fight all the time to have this conversation with the state and with insurance carriers.”

---

Another forum participant, David Umnacht, executive director, League of Minnesota Cities Insurance Trust, discussed how “the word incentivize means different things to different people. Don’t be presumptuous about premium decreases. Be careful not to assume that decreases can automatically happen. Setting premiums is more complicated than that; it’s not always a clear nexus.”

Another participant cautioned how financial incentives can actually result in negative consequences: “Federal money and funding can sometimes have a corrosive effect. [Such money] should not necessarily dictate [state and local] policy and should not have an unexamined influence on policy and practice,” said Tim Richardson, senior legislative liaison, Fraternal Order of Police. “For example, we have used a legal strategy to penalize a city for dropping an officer with an illness from a retirement healthcare pool—one city was willing to take the hit because it was still less expensive.”

## Risk reviews

Risk reviews are an intentional assessment of a law enforcement agency's current risk profile. They can be helpful in defining overall big picture views and—with the right tool set—can also be helpful in dealing with specific risks and monitoring progress. The risk assessment team should include members from legal, risk management, local government, and the law enforcement agency being reviewed. The review can be a one-time process to identify vulnerabilities, or it can become an ongoing effort with a cross-sector team that works together to identify areas of risk, manage prevention or mitigation efforts, and handle complaints and litigation. Institutionalizing ongoing risk management teams is an important way to maximize insights and prevention strategies from across the legal, risk management, financial, and law enforcement perspectives.



# Roles and Responsibilities in Reducing Risk

The following lists are summaries of the key ideas participants shared during the forum.

## Local governments (municipalities, cities, and counties)

Local governments can do the following to reduce risk:

- Nurture a proactive and transparent relationship between the municipality, city, and county officials and law enforcement agency leadership.
- Address silos between local governments, risk managers, law enforcement agencies, unions, and the community by using a risk management team and cross-agency approach.
- Collect the applicable risk management–related data sets, analyze it regularly, and use it to identify areas for improvement.
- City and county governments and jurisdictions need to examine their own practices to ensure procedural justice, fairness, and constitutional protections are consistent across local government agencies.
- Implement cross-sector sentinel event reviews to identify systems issues.
- Recognize the need to invest in areas that reduce risk, such as policy development, data collection, hiring, training, equipment, surveys, and community policing.
- Ensure risk management information from the insurance carrier is shared with the local government and the law enforcement agency’s executive leadership.
- Develop a civilian review board whose members have the expertise and experience necessary to build credibility with the community and officers.
- Ensure fairness in local government practices that address procedural justice (equity and transparency) for the community and for officers.
- Have risk managers and local government administrators participate in a citizen’s academy so they can gain some insight into what officers face with use of force and other risk situations.

## Risk managers and insurers

Risk managers and insurers can do the following to reduce risk:

- Become a voice for proactive advancement of evidence-based, 21st century policing practices that reduce harms and increase positive outcomes.
- Identify opportunities for incentives and credits.

- Monitor for disincentives and unintended consequences of risk management practices.
- Be proactive in working across sectors and engaging law enforcement agencies to identify and reduce risks.
- Promote using data on police encounters to be proactive in monitoring high-risk areas: e.g., police-community interactions, use of force, violations of civil rights, and mistreatment of disenfranchised populations such as the homeless or LGBTQ+ community.
- Conduct a risk review to assess the current status of the law enforcement agency and areas for strategic improvement.
- Form a national law enforcement insurers association.

## Law enforcement agencies

Executive leadership can do the following to reduce risk:

- Focus on the culture of the agency, and reward constitutional policing, procedural justice, and limited use of force.
- Ensure model policies are applied, measured, and monitored for results.
- Ensure all data collection is rigorous and transparent.
- Collaborate with risk managers, local governments, police unions, and other relevant stakeholders to identify and address priority risks.
- Recruit and hire officers with the necessary attitudes and skills.
- Prioritize officer safety and wellness.
- Promote practices that equip officers to better manage their stress levels and resilience.
- Budget for protective equipment such as bulletproof vests.
- Implement risk reduction policies, and provide recruits and officers with implicit bias, procedural justice, use of force, de-escalation, and driving safety training.

Supervisors can do the following to reduce risk:

- Recognize supervisors' important role in setting the expectations and reinforcing the culture of the law enforcement agency.
- Train officers regularly on key risk management strategies and agency policies during roll calls, during in-service training, and in academies.
- Be consistent in recognizing and enforcing compliance with agency policies and procedures.
- Set an example for officer wellness and safety; model the behaviors expected of rank-and-file officers.

Rank-and-file officers can do the following to reduce risk:

- Monitor and adjust their own behavior, as the first line of defense for risk management is the officers themselves: their actions and judgment are always subject to review for compliance with policies and procedures by their agency and the community.
- Fully engage during training to master the critical thinking skills and knowledge of how to keep themselves safe and how to best protect the community, including the people they may be arresting.
- Follow agency policies and protocols, especially those designed to protect officers, such as wearing seatbelts or driving safely, even if those policies or protocols go against agency culture.
- Seek to understand implicit bias and to recognize how unconscious perceptions affect decision-making and assumptions, especially in high-intensity situations.
- Recognize that policing in a democratic society involves the protection of people's civil rights as well as public safety.
- Seek to develop cultural competency skills to better understand and communicate with local communities.
- Develop self-management skills to cope with stress and increase resilience.

## Police labor unions

Unions can do the following to reduce risk:

- Advocate for the protection of officer rights.
- Seek to identify areas of risk that affect officers, and work with risk managers, local government officials, and law enforcement agencies to address those risks.
- Encourage and support officer safety and wellness services, including physical and mental health services.
- Promote practices that officers can use to reduce stress and improve their emotional, mental, and physical resilience.

## Community

The community can do the following to reduce risk:

- View itself as a co-producer of public safety.
- Participate in citizen academies to better understand the goals and challenges of being an officer.
- Participate as community members in trainings for law enforcement to provide a community perspective.

- Provide education and training to young people and the general public on how to interact with law enforcement.
- Provide community input in the development of law enforcement policies.
- Advocate for community access to law enforcement data on police-community interactions, and use that data to identify areas for improvement.
- Focus on building comprehensive solutions to community risk factors that address poverty, employment, housing, substance abuse, and other issues that contribute to crime and fear of crime.
- Promote positive interactions and activities with law enforcement officers outside of their enforcement duties.

# Appendix A. Summary of Recommendations

## Data recommendations

1. Professional law enforcement associations should develop national law enforcement data collection standards and platforms to be used for risk management purposes to inform the mapping, prioritization, and risk mitigation work of law enforcement agencies and local governments.
2. Law enforcement agencies should collect data on officer incidents and personnel records, including use of force charges against officers, officer retention rates, years of service, accidents, and sick leave rates.
3. The U.S. Department of Justice should provide examples of survey tools to encourage law enforcement to collect data on community perceptions and on the perceptions of those who have the most interaction with law enforcement: e.g., those who are stopped, arrested, and incarcerated.

## Leadership and culture recommendations

1. Local governments should establish specific criteria for selecting law enforcement executives who have the ability to shape organizational culture and practices with an emphasis on public safety that the public and officers can view as fair and just.
2. Law enforcement executives should manage risk by strengthening procedural justice practices internally and externally to ensure constitutional policing to reduce the number of incidents that could generate citizen complaints and lawsuits, thus protecting both the agency and its officers.
3. Professional law enforcement associations should provide education, research, and practical tools for law enforcement leadership, and these resources should focus on the use of data, model policies, best practices, training, and supervision to improve outcomes for the public and for officers.
4. Law enforcement executives should ensure that all ranks throughout the agency take leadership training, and training providers should include critical thinking skills and problem solving in their leadership training courses.

## Accreditation of law enforcement agencies recommendations

1. CALEA should make data collection on officer-civilian interactions mandatory for accreditation.
2. Risk managers, local governments, and law enforcement associations should promote accreditation for all law enforcement agencies and find ways to support smaller agencies becoming accredited.

## Certification and decertification of officers recommendations

1. State police officer standards and training agencies should promote the use of the National Decertification Index by encouraging law enforcement agencies not only to register officers whose certifications have been revoked or who had licensing actions taken against them but also to check the registry as part of the hiring process.
2. Professional law enforcement associations should promote training vendors' use of the National Certification Program to validate the quality of their law enforcement training.
3. The National Institute of Justice should continue to research the effectiveness of law enforcement training content and training methodologies to ensure those that have the most impact on officer performance, safety, and wellness are promoted as effective.

## Recruiting and hiring the right people recommendations

1. Law enforcement agencies should be intentional about tracking emerging best practices in recruiting and hiring officers.
2. The DOJ should continue to research the challenges facing law enforcement agencies in the screening and hiring of the most appropriate candidates as officers.
3. Risk managers, local governments, and law enforcement agencies should work together to establish recruitment and hiring strategies to attract the most appropriate candidates.

## Proper use and implementation of model policies recommendations

1. The DOJ should support research and dissemination of key learnings on the effects of policies implemented at the local level.
2. The DOJ should provide information on how law enforcement agencies and local governments can monitor the impact of the implementation of policies through data collection, surveys, and research.

## Enhanced training recommendations

1. The DOJ should support research on the effectiveness of training to reduce or manage risks in a public safety setting.
2. Training agencies should use best practices in adult learning theory to integrate scenario-based hands-on learning experiences into law enforcement training and in-service training methodology to enhance officers' skills and behavior.
3. Law enforcement agencies and local governments should budget for trainings that address risk management priorities, such as policing in a democratic society, implicit bias, use of force, de-escalation, driving safety, and officer safety and wellness.

## Developing appropriate systems of supervision and review recommendations

1. Law enforcement executives should review and strengthen agency expectations, training, support, and positive reinforcement for law enforcement supervisors.
2. Law enforcement training providers should educate and prepare line supervisors for their role in risk identification, risk mitigation, and risk management.
3. Law enforcement executives and local governments should budget for training supervisors on how to use data to understand and monitor the behavior of officers in order to provide the proper level of positive reinforcement and correction when necessary.
4. Law enforcement training providers should develop training tools that supervisors can use in roll calls to reinforce agency policies and practices, especially those that help to reduce risk to officers and the public.

## Sentinel event reviews and early warning system recommendations

1. Congress should advance legislation to facilitate a sentinel event review process within the law enforcement sector.
2. Local governments and law enforcement executives should develop a sentinel event review process in local law enforcement agencies.
3. The DOJ should provide guidance and tools to help law enforcement agencies develop effective early warning systems that reduce the risk of civilian complaints and legal claims.

## Police-community relations recommendations

1. Local government and law enforcement should initiate and maintain open and transparent communication with the community through regular meetings, surveys, social media, and community policing.
2. Local government and law enforcement should engage the community in proactive public safety activities such as citizen academies, crime prevention efforts, problem-solving activities, explorer posts, and chaplaincy programs.
3. Local governments and law enforcement agencies should set up regular meetings with key populations that have the highest levels of risk for negative experiences with law enforcement to create an open platform for problem solving and communication.

## Use of force recommendations

1. Risk managers, local governments, and law enforcement agencies should work together to review, refine, and monitor policies that are closely related to high-risk law enforcement actions such as use of force, mass demonstrations, stop and frisk, and patterns of profiling.

## Officer safety and wellness recommendations

1. Risk managers should work closely with law enforcement to strengthen policies, practices, and training on driving safety and efforts to reduce traffic-related injuries and deaths.
2. Risk managers, local governments, law enforcement agencies, and unions should work together to prioritize efforts to improve officer safety and wellness, including physical and mental health.
3. Law enforcement unions can encourage their members to follow safe driving practices by reducing speed and using seatbelts as well as wearing bulletproof vests.

# Appendix B. Selected Resources for Risk Management

## Leadership and culture

### **An Assessment of Cost Reduction Strategies in a New Economy: Technical Report and Survey Monograph**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0850>

Many public sector agencies including law enforcement were faced with the need to reduce costs as a result of the global financial crisis of 2007–2008. In an effort to obtain information about potential cost reducing strategies for U.S. agencies, researchers surveyed 51 international agencies on their various strategies employed to reduce costs or increase efficiency to maintain their level of service delivery and community policing. Those identified as most promising include (1) collaboration with other law enforcement agencies, (2) sharing of services with other agencies, (3) reduction in the layers of management, (4) merging of specialty units, and (5) reduction in divisions or policing areas.

### **COPS Evaluation Brief No. 3: Creating A Culture of Integrity**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P148>

This evaluation examines the successes and challenges of the COPS Office’s Creating a Culture of Integrity initiative. As the federal leader in police integrity, this document furthers the COPS Office’s success in helping law enforcement agencies to continue providing a high level of public safety while respecting the rights of all whom they serve.

### **Implementing a Comprehensive Performance Management Approach in Community Policing Organizations: An Executive Guidebook**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P331>

This guide is designed for law enforcement executives looking to institutionalize community policing through performance management strategies. It demonstrates how to incorporate into performance management systems the principles of procedural justice: i.e., the extent to which community members believe the police treat them with fairness, dignity, and respect, as well as the extent to which officers feel they are treated fairly and respected by their superiors. This guide presents strategies and tools to develop and assess the performance of officers. The strategies lead to creating internal procedural justice for employees and also model how officers (and other employees) should interact with community members.

### **Key Leadership Strategies to Enhance Communication**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P195>

This white paper explores the importance of developing a strategic approach to improve communications between the police and the public in the ever evolving age of social networking technology. The main focus is on providing law enforcement executives with key information, trends, methods, changes, and use of technology relevant to how the public accesses news and other community information. The goal of improving communication and outreach is to build trust and respect, increase transparency, and foster greater community engagement.

### **Leadership for Public Safety: Professional Dimensions of Leadership in Law Enforcement**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0633>

This report is a synopsis of meetings sponsored by the COPS Office in 2009 and 2010 that examined various dimensions of public safety leadership. Discussions on leadership training venues and resources, availability of training, determining what works, and resistance to change revealed a host of dilemmas agencies face when deciding what training is appropriate for their personnel. Expert viewpoints on emerging issues brought to light existing gaps in training, such as political issues faced by law enforcement leaders, management issues, leadership ethics, emotional leadership, and empowerment.

### **Rank and File: Leaders in Building Trust and Community Policing**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P351>

In May 2016, the COPS Office hosted a meeting that brought rank-and-file officers together with officials from the U.S. Department of Justice to share their experiences and expertise to address the challenges that law enforcement faces today. The participants debated strategies for changing or adopting new policies and procedures, challenging assumptions, critiquing strategies, and recommending ways to implement reform in the criminal justice system. The forthright input of these participants who serve on the front lines of law enforcement is critical to understanding the problems they face and developing workable solutions. This report can serve as a means of engaging the rank and file in implementing change.

### **Virginia Beach Police Department: Enhancing Cultures of Integrity; Technical Assistance Guide**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0681>

This guide is the third in a series of reports detailing projects resulting from the COPS Office's Creating a Culture of Integrity grant program. These grants funded initiatives related to developing innovative ethics and integrity programs to address policies and practices that can impact organizational culture within law enforcement agencies. In this guide, the Virginia Beach Police Department details its steps to enhance police integrity by focusing on leadership development, coaching and mentoring, and an improved citizen complaint system and complaint mediation program.

## Accreditation and certification

### Accreditation [via CALEA]

<http://www.calea.org/content/accreditation>

CALEA's accreditation programs aim to help improve local, state, territorial, and tribal law enforcement agencies' delivery of public safety services by "maintaining a body of standards developed by public safety practitioners covering a wide range of up-to-date public safety initiatives, establishing and administering an accreditation process, and recognizing professional excellence."<sup>64</sup>

### National Certification Program

<http://iadlest-ncp.org>

IADLEST launched the National Certification Program for police training agencies and academies in 2015 to validate police training curriculum. To be more specific, this program "sets minimum standards for vendors providing police continuing education and ensures training content meets those quality standards" that either meet or exceed the certification requirements in each state so that all POST organizations will accept IADLEST training.<sup>65</sup>

### National Decertification Index

<https://www.iadlest.org/our-services/ndi/about-ndi>

IADLEST's searchable national registry enables state government agencies to add officer certificate or license actions related to misconduct. The registry provides agencies with information about a potential employee's previous history of officer misconduct and subsequent decertification so that the agency can make an informed hiring decision. An agency considering a new hire should verify the officer's record with the agency that created the record.

### National Law Enforcement Academy Resource Network (NLEARN)

<https://www.iadlest.org/our-services/nlearn/about-nlearn>

Through this network website, which IADLEST and the National Highway Traffic Safety Administration jointly created, all U.S. law enforcement training academies can connect and access resource services.

---

64. "The Commission," CALEA (see note 26).

65. "General," National Certification Program (see note 35).

## Recruitment and hiring

### **Hiring for the 21st Century Law Enforcement Officer: Challenges, Opportunities, and Strategies for Success**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0831>

This report details the discussions and recommendations of the Hiring for the 21st Century Law Enforcement Officer forum, which included experts in police standards, screening, and hiring. Their insights and recommendations in areas such as psychological screening, educational requirements, promotion policies, and methods for retaining the best officers can be of great value to Peace Officer Standards and Training (POST) commissions, HR, and agency executives.

### **Law Enforcement Recruitment in the 21st Century: Forum Proceedings**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0830>

This report covers the discussions of the Law Enforcement Recruitment in the 21st Century forum, whose participants represented law enforcement, civil rights, and other stakeholder groups. The forum's goals were to identify ways to improve recruitment programs, practices, and strategies with a special emphasis on diversity; to better understand how the image of law enforcement impacts recruiting efforts; and to provide action steps for developing and enhancing recruitment strategies.

## Model policies

### **An Evidence-Assessment of the Recommendations of the President's Task Force on 21st Century Policing: Implementation and Research Priorities**

<http://cebcp.org/wp-content/evidence-based-policing/IACP-GMU-Evidence-Assessment-Task-Force-FINAL.pdf>

This report reviews existing data about the Task Force on 21st Century Policing's recommendations, highlights promising practices, and identifies issues that need more research and testing.

## Training

### **Building Relationships of Trust: Curriculum Training Modules**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0733>

This in-service orientation course assists officers in building relationships of trust. This document is one piece of the broader *Building Relationships of Trust Toolkit*,<sup>66</sup> which includes six components that provide detailed information law enforcement officers and community members should consider when trying to build trusting relationships.

---

66. Robert Wasserman, Zachary Ginsburg, and the Institute for Intergovernmental Research, *Building Relationships of Trust Toolkit* (Washington, DC: Office of Community Oriented Policing Services, 2014), <http://ric-doj.zai-inc.com/ric.php?page=detail&id=COPS-W0735>.

### **COPS Office Training Portal**

<https://cops.usdoj.gov/training>

The COPS Office is a leader in developing and providing innovative training to advance community policing for all levels of law enforcement and the communities they serve. The COPS Office provides numerous trainings and support materials in a variety of formats including curricula, guidebooks, webinars, publications, conference presentations, podcasts, and videos. COPS Office online and in-person trainings can be found on the COPS Office Training Portal, a comprehensive, public training portal with valuable resources for law enforcement and related stakeholders.

### **Planning and Managing Security for Major Special Events: Training Curricula**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-CD026>

This CD provides training curricula to assist local law enforcement in planning and managing security for events that attract large numbers of people. It includes examples of best practices employed by federal agencies with security responsibilities, as well as strategies that have been effective for local law enforcement and private security.

### **Police Training Officer (PTO) Training Standard**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0248>

This manual outlines a 40-hour course for police training officers (PTO). It teaches trainers how to help trainees apply policing and problem-solving skills in a 15-week post-academy training program by outlining 15 problem-based learning instruction blocks. The manual is one of a 4-part series that includes *PTO Overview and Introduction*, *PTO Manual*, and *PTO Trainee Manual*.

## **Supervision and accountability**

### **First Line Supervision under Compstat and Community Policing: Lessons from Six Agencies**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P204>

This report used data from on-site focus groups at six police agencies, differing in size and organization, that had implemented both community policing and Compstat. The main findings of this study showed that while Compstat helped the supervisors to recognize emerging crime problems, it had little effect on encouraging innovative responses to those problems. Community policing was seen as a good idea by the majority.

## Early warning systems

### **Early Intervention System: A Tool to Encourage & Support High Quality Performance**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0084>

This guide is designed primarily to help employees of the Charlotte-Mecklenburg Police Department (CMPD) understand its early intervention system (EIS) processes. The CMPD EIS alerts supervisors to conduct evaluations of employees who exhibit predefined at-risk behaviors and guides them in seeking avenues to address behaviors where appropriate. The guide also serves to inform the public about the EIS to help create greater trust and confidence in the CMPD.

### **Early Intervention Systems for Law Enforcement: A Planning and Management Guide**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0085>

This publication explores the benefits and risks of early intervention systems and discusses successful systems all over the country, focusing on large agencies.

### **Strategies for Intervening with Officers through Early Intervention Systems: A Guide for Supervisors**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P093>

This publication provides practical advice on many aspects of early intervention systems, including (1) defining the role of the first-line supervisor, (2) structuring the intervention process for officers who have reached (or are about to reach) a threshold within the system, (3) identifying ways to provide the various programs and services that supplement and reinforce early intervention systems, and (4) creating a broader culture of accountability in law enforcement agencies.

### **Supervision and Intervention within Early Intervention Systems: A Guide for Law Enforcement Chief Executives**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P105>

This publication provides practical advice on many aspects of early intervention systems, including (1) defining the role of the first-line supervisor, (2) structuring the intervention process for officers who have reached (or are about to reach) a threshold within the system, (3) identifying ways to provide the various programs and services that supplement and reinforce early intervention systems, and (4) creating a broader culture of accountability in law enforcement agencies. In addition, this publication presents key recommendations for developing, implementing, and maintaining early intervention systems based on the lessons learned from other law enforcement agencies.

## Police-community relations

### **Bridging the Trust Gap between Law Enforcement and Communities of Color Toolkit**

<http://www.theiacp.org/CommunitiesOfColor>

The IACP convened three focus groups of community stakeholders, frontline officers, and law enforcement executives to discuss building community trust. This toolkit, available on IACP's website, includes some of the most successful strategies and tools for engaging communities of color. The list of resources are grouped into four sections: policing for progress, steps to building trust, sample community surveys, and IACP and COPS Office resources.

### **Crisis Management Strategies: Fostering Communication between the Public and Private Sectors**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0193>

Major events such as terrorist attacks and weather catastrophes over the last decade have illustrated the need for the public sector to engage the private sector. This publication discusses three ways to adopt a whole-community approach to emergency management: fusion centers, Regional Consortium Coordinating Councils, and Business Emergency Operations Centers. The primary goal of this publication is to examine efficient communications between the private sector and law enforcement community.

### **Gender, Sexuality, and 21st Century Policing: Protecting the Rights of the LGBTQ+ Community**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0837>

The COPS Office, in partnership with Strategic Applications International, hosted a forum on gender, sexuality, and 21st-century policing. This report documents the discussions and recommendations of the forum's participants, who came together from police departments and LGBTQ+ advocacy groups to explore ways to reshape policies; improve hiring, training, and communications; and identify strategies for eliminating bias against the LGBTQ+ community.

### **Guide for Improving Relationships and Public Safety through Innovations Engagement and Conversation**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P321>

The Center for Court Innovation and the COPS Office developed this toolkit as a resource for communities that wish to implement police-youth dialogues—i.e., facilitated conversations that build trust and understanding by allowing teens and police to speak honestly about their experiences with one another. These dialogues provide windows into the other's point of view, enabling participants to find common ground. Drawing from projects across the country that use dialogues, the toolkit consolidates expertise, providing strategies and promising practices.

## Use of force and police-civilian interactions

### **Emerging Use of Force Issues: Balancing Public and Officer Safety**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P232>

The IACP and the COPS Office convened a Use of Force Symposium to find ways in which law enforcement can address the perceived excessive use of force by officers. Discussions centered around five major themes: public perception, getting at the facts, managing use of force, officer training, and officer mindset. This publication summarizes the discussions from the symposium and provides suggestions and conclusions on what actions can be taken to address these issues.

### **Maintaining First Amendment Rights and Public Safety in North Minneapolis: An After-Action Assessment of the Police Response to Protests, Demonstrations, and Occupation of the Minneapolis Police Department's Fourth Precinct**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0836>

Following the fatal police shooting of a North Minneapolis community member in 2015, a group of residents demonstrated at the Minneapolis Police Department's (MPD) Fourth Precinct headquarters, blocking access to the building and occupying the area around it for 18 days. This COPS office after-action assessment, completed in partnership with the Police Foundation, provides a comprehensive review of the response to the protests from the perspectives of the MPD, elected leaders, and demonstrators and community members.

## Officer safety and wellness

### **Bulletproof Vest Partnership (BVP) Program**

[https://www.bja.gov/ProgramDetails.aspx?Program\\_ID=82](https://www.bja.gov/ProgramDetails.aspx?Program_ID=82)

This BJA web page provides BVP details, including news and information, funding and availability, training and technical assistance, related resources, publications and performance reports, and FAQs.

### **Law Enforcement Officer Safety Toolkit**

<https://www.valorforblue.org/Documents/Publications/Public/lawenforcementofficersafetytoolkit0917.pdf>

This toolkit provides information about federal resources available to state, local, and tribal law enforcement agencies to assist them in learning about and promoting officer safety. Programs identified include the VALOR Officer Safety and Wellness Program, active shooter response training, and de-escalation training. All VALOR initiative programs are designed to protect the safety, health, and well-being of law enforcement officers by providing up-to-date tactical-, skill-, and awareness-building education; technical assistance; and resources.

### **National Blue Alert Network**

<https://cops.usdoj.gov/bluealert>

This network supports the integration of Blue Alert plans throughout the United States to rapidly disseminate information to law enforcement agencies, the media, and the public to aid in the apprehension of violent criminals who kill, seriously injure, or pose an imminent threat to law enforcement. Blue Alerts can be transmitted to television and radio stations, cellphones and wireless devices, overhead highway message signs, and other secondary alerting mechanisms in the same way AMBER Alerts are commonly issued. Currently, 29 states have Blue Alert plans. The COPS Office provides resources and technical assistance to states, territories, law enforcement agencies, and tribes seeking to establish or enhance Blue Alert plans, including voluntary activation guidelines, examples of legislation, policies, and forms gathered from around the nation in a central Blue Alert data repository.

### **Officer Safety and Wellness Group Meeting Summary:**

#### **Improving Law Enforcement Resilience; Lessons and Recommendations**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-P362>

In October 2016, the OSW Group brought law enforcement practitioners and subject matter experts together to discuss promising practices for supporting officer resilience. *Resilience*—the ability not only to recover emotionally from traumatic events but also to withstand day-to-day work-related stress—is critical to the physical and psychological health of all law enforcement officers. In addition to summarizing the group's discussions at the meeting, this report contains case studies of the emotional impact of mass casualty events on first responders in Dallas, Texas; Orlando, Florida; and San Bernardino, California. The report also provides recommendations for preparing officers for traumatic events and strategies for supporting overall resilience through physical and emotional health.

### **National Officer Safety and Wellness Working Group**

<https://cops.usdoj.gov/oswg>

This web page introduces the National Officer Safety and Wellness (OSW) Group, which brings together representatives from law enforcement, federal agencies, and the research community to address the significantly high number of officer gunfire fatalities and to improve officer safety and wellness. During quarterly meetings, participants contribute to the creation of officer safety and wellness tools and resources, which are then published on this web page.

**PoliceArmor.org**

<https://policearmor.org/>

This website, funded by a grant from the NIJ, provides in its Features & News section updates about the BJA's BVP Program funding and information on NIJ-compliant body armor.

**The Signs Within: Suicide Prevention Education and Awareness**

<https://ric-zai-inc.com/ric.php?page=detail&id=COPS-W0855>

This publication describes a variety of suicide prevention and awareness training programs; refutes common myths; and provides concepts, resources, and promising practices for law enforcement executives. It also discusses strategies such as peer counseling, mentoring, employee assistance programs, and the use of staff psychologists. In addition, readers will find a checklist that managerial staff can use to identify signs of stress. Officer suicide is a preventable tragedy that can be addressed through training, awareness, and mental health resources—this publication provides a start.

# Appendix C. Forum Participants

**Jim Baker**

Director, Advocacy,  
International Association  
of Chiefs of Police

**Kanya Bennett**

Legislative Counsel,  
American Civil  
Liberties Union

**Theron Bowman**

Deputy City Manager,  
City of Arlington, Texas

**Dwayne Crawford**

Executive Director, National  
Organization of Black Law  
Enforcement Executives

**Ronald Davis**

Director, Office of  
Community Oriented  
Policing Services

**Margo Ely**

Executive Director,  
Intergovernmental Risk  
Management Agency

**Michael Ferrence Jr.**

Executive Director, Major  
County Sheriffs' Association

**Linsay Hale**

Professional Standards  
Director, Oregon  
Department of Public  
Safety Standards  
and Training

**Bill Johnson**

Executive Director,  
National Association  
of Police Organizations

**Alexander Jones**

Operations Bureau Chief,  
Baltimore County

**Barbara Langhenry**

Director, City of Cleveland  
Department of Law

**Bryan Leaird**

Director of Risk Management  
Field Services, North  
Carolina League of  
Municipalities

**Paul MacMillan**

Northeast Regional Program  
Manager, Commission on  
Accreditation for Law  
Enforcement Agencies, Inc.

**Carlton Mayers II**

Policy Counsel, Police  
Reform Campaign,  
National Association for  
the Advancement of  
Colored People (NAACP)  
Legal Defense and  
Education Fund

**Michael McHale**

President, National  
Association of Police  
Organizations

**Andrew Myerberg**

Assistant City Attorney,  
City of Seattle

**Matthew Peter**

Senior Attorney,  
Local Government  
Insurance Trust

**Tim Richardson**

Senior Legislative Liaison,  
Fraternal Order of Police

**Steven Robles**

County Risk Manager,  
Los Angeles County

**Nancy Rodriguez**

Director, National  
Institute of Justice

**Barry Scott**

Risk Manager,  
City of Philadelphia

**Hadi Sedigh**

Associate Legislative  
Director for Justice &  
Public Safety, National  
Association of Counties

**Sean Smoot**

Director and Chief  
Legal Counsel, Police  
Benevolent and Protective  
Association of Illinois

**Mark Spencer**

Inspector General, Prince  
George's County Sheriff's  
Department

**Perry Tarrant**

President, National  
Organization of Black Law  
Enforcement Executive

**David Unmacht**

Executive Director,  
League of Minnesota  
Cities Insurance Trust

**Jessica Vanderpool**

Director of Special  
Projects, National  
Sheriffs' Association

**Kim Vickers**

Executive Director,  
Texas Commission  
on Law Enforcement

**Russell Washington**

Principal Deputy  
Director, Office of  
Community Oriented  
Policing Services

**Laura Waxman**

Director of Public Safety,  
U.S. Conference of Mayors

**Daniel Zivkovich**

Executive Director,  
Municipal Police  
Training Committee,  
Massachusetts

# About the Authors

Colleen K. Copple, senior principal, Strategic Applications International, has 27 years of community policing experience working with law enforcement and communities to co-produce public safety.

James E. Copple, senior principal, Strategic Applications International, served as the founding president of Community Anti-Drug Coalitions of America and co-authored the Drug-Free Communities Act. He served as chief operating officer of the National Crime Prevention Council and as the founder of Project Freedom in Wichita, Kansas, where he was deputy superintendent of schools. He has 28 years of experience working closely with law enforcement to address gangs, drugs, violence, and crime through police-community collaboration.

# About SAI

**Strategic Applications International (SAI)** facilitated President Obama’s Task Force on 21st Century Policing. SAI provides training, technical assistance, and organizational development strategies for domestic and international non-governmental organizations; non-profits; and local, state, national, and international government organizations responding to crime, violence, and substance abuse. SAI provides facilitation and mediation services and brokers relationships between public and private sectors to address critical issues facing communities.

In partnership with the U.S. Department of Justice and the Substance Abuse Mental Health Services Administration of the U.S. Department of Health and Human Services, SAI has facilitated 22 governors’ summits on methamphetamine and, in collaboration with state and local agencies, developed comprehensive strategies with measurable outcomes. Most recently, with funding from the COPS Office, SAI worked with 40 tribal law enforcement agencies seeking to address drug abuse in tribal nations.

SAI is a global firm with projects to prevent and treat HIV and AIDS in South Africa and Swaziland; gender-based violence in Kenya, South Sudan, Ethiopia, and Rwanda; and criminal-justice reform, counter-terrorism, and de-radicalization in Kenya. Globally, SAI addresses development issues around community policing, substance abuse, gender empowerment, climate and the environment, and women and youth employment.

SAI builds capacity, supports and applies research, develops publications, and promotes community action with all its partners and clients.

# About the COPS Office

The **Office of Community Oriented Policing Services (COPS Office)** is the component of the U.S. Department of Justice responsible for advancing the practice of community policing by the nation's state, local, territorial, and tribal law enforcement agencies through information and grant resources.

Community policing begins with a commitment to building trust and mutual respect between police and communities. It supports public safety by encouraging all stakeholders to work together to address our nation's crime challenges. When police and communities collaborate, they more effectively address underlying issues, change negative behavioral patterns, and allocate resources.

Rather than simply responding to crime, community policing focuses on preventing it through strategic problem-solving approaches based on collaboration. The COPS Office awards grants to hire community policing officers and support the development and testing of innovative policing strategies. COPS Office funding also provides training and technical assistance to community members and local government leaders, as well as all levels of law enforcement.

Since 1994, the COPS Office has invested more than \$14 billion to add community policing officers to the nation's streets, enhance crime fighting technology, support crime prevention initiatives, and provide training and technical assistance to help advance community policing. Other achievements include the following:

- To date, the COPS Office has funded the hiring of approximately 130,000 additional officers by more than 13,000 of the nation's 18,000 law enforcement agencies in both small and large jurisdictions.
- Nearly 700,000 law enforcement personnel, community members, and government leaders have been trained through COPS Office-funded training organizations.
- To date, the COPS Office has distributed more than eight million topic-specific publications, training curricula, white papers, and resource CDs and flash drives.
- The COPS Office also sponsors conferences, roundtables, and other forums focused on issues critical to law enforcement.

COPS Office information resources, covering a wide range of community policing topics such as school and campus safety, violent crime, and officer safety and wellness, can be downloaded via the COPS Office's home page, [www.cops.usdoj.gov](http://www.cops.usdoj.gov). This website is also the grant application portal, providing access to online application forms.

In the course of executing their duties, law enforcement agencies are vulnerable to costly lawsuits by officers and community members for claims of misconduct, harm, or violation of rights—lawsuits that can undermine not only the financial security of the agencies but also the well-being of the officers and the public they serve. To help law enforcement identify and minimize these risks, the COPS Office and Strategic Applications International (SAI) convened a forum that included representatives of labor unions, local government, law enforcement agencies, and the community. This report, which details the discussions of that forum, covers all aspects of this critical subject, including departmental leadership’s role, recruitment policies, and police-community relations. Readers will also find tools for sharing risk management and a description of the roles and responsibilities of government, risk managers, insurers, unions, and the community in this effort. The appendices provide a summary of the forum’s recommendations and a list of resources for risk management.



**COPS**

*Community Oriented Policing Services*  
*U.S. Department of Justice*

U.S. Department of Justice  
Office of Community Oriented Policing Services  
145 N Street NE  
Washington, DC 20530

To obtain details about COPS Office programs, call  
the COPS Office Response Center at 800-421-6770.

Visit the COPS Office online at [www.cops.usdoj.gov](http://www.cops.usdoj.gov).



Strategic Applications International  
6526 10th Street  
Alexandria, VA 22307

Visit SAI online at <http://sai-dc.com>.