Global Police Standards: Strategic Plan for International Policing

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Abstract

Recent attempts to forge representative style government in countries emerging from conflict have had disappointing results. To some, this indicates that state-building is a failed proposition. To the contrary, state-building has been a successful foreign policy initiative of the world community. Combining research on state-building, and inherent lessons learned, with the business model of Strategic Planning provides hope. This text attempts to establish Global Police Standards and predicate Desired Outcomes in a Strategic Plan to guide international police mentors in transforming law enforcement in countries emerging from conflict.

Keywords: State Building, Strategic Plans, Global Police Standards

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State-Building as foreign policy objective

Post-World War II, state-building emerged as a U.S. foreign policy objective. The concept is wildly misunderstood, and often misapplied. State-building is NOT focused on westernizing the morals, religion, or culture of a country to align with western ideals more closely. Rather, state-building is limited to realizing internationally recognized principles of governance. The United Nations passed the Universal Declaration of Human Rights in Paris on 10 December 1948 (Resolution 217A). The declaration makes clear that: all persons are born free and of equal rights (Article 1); all persons have the right to life, liberty, and security (Article 3); and all persons are equal before the law (Article 7). The declaration further identifies that everyone has the right to participate in government (directly or through freely chosen representatives) and that the governance be determined by periodic and genuine elections (Article 21). In all, the 30 Articles of the Universal Declaration of Human Rights make clear the intent of the collective world. As a foreign policy initiative, the assumption is that the Universal Declaration of Human Rights leads to regional peace and stability. State-building, in the purest form, is assistance provided (normally in post-conflict nations) by international actors to ensure realization of the Universal Declaration of Human Rights.

Overall, global initiatives to transform countries emerging from conflict towards representative governance have been successful. Dobbins et. al., (2007) points out state-building efforts have largely had favorable impact. "… the overall nation-building record is encouraging. The United States has taken on the largest and most difficult nation-building challenges. Roughly half its operations have produced both sustained peace and continued democratic governance"

(p. VI). Armed conflicts have declined by 40% since 1990, and genocides and politicides have decreased by 80% between 1988 and 2001 (Mack, 2005).

Recent failures in Iraq and Afghanistan, however, have been used by pundits (both conservative and liberal) to proclaim that state-building is a failed initiative. State-building, when properly constrained, is an effective tool to build world peace and security (as noted by Mack). Dobbins et. al. (2007) observes, "Despite some notable setbacks, the overall impact of this heightened international activism has been beneficial. International military interventions have proved to be the best, and indeed the only, reliable means of preventing societies emerging from civil war from slipping back into conflict. Since the end of the Cold War, the number of civil wars around the world has reduced by half. The number of people being killed, maimed, or driven from their homes as a result of armed conflict has also, at least until recently, dropped even further" (p. xviii).

The question is not IF state-building can be done, rather the more proper approach is to query why some state-building Missions succeed and others fail.

Nation-Building versus State-building

Though often used interchangeably, there are distinctions between nation-building and state-building.

Nation-Building

Nation-building is the process of establishing national identity (i.e., flags, holidays, airlines, anthem) by the power of the State (Deutsch et, al., 1966). Nation-building refers to the process of constructing a shared sense of identity and common destiny, usually to overcome ethnic, sectarian or communal differences and to counter alternative sources of identity and loyalty (Fritz, V., & Menocal, A, 2007).

State-Building

State-building is the process of increasing the capacity of government to govern (Fritz, V., & Menocal, A., 2007). Three dimensions, or pillars, are attributed to this activity: security; political; and economic (Persson, 2012). Some argue that state-building is not an activity that can be undertaken by international actors and must be viewed as an activity internal to the country itself (Whaites, 2008). Others project that, at the very least, internal actors play a large role in the endeavor (Fritz, V., & Menocal, A 2007). Minimally, there must be a commitment and willingness by the host country to accept change.

Police Missions

One pillar of state-building identified by Persson is security. The security pillar is broad and includes not only the safety and security of citizens, but also implementation of Rule of Law. Implementing Rule of Law requires reform, or creation, of founding documents (e.g., a constitution), judicial reform, prosecutorial reform, and police reform.

International Narcotics and Law Enforcement (INL) under the United States Department of State has, over the years, run over 100 International Police Missions. Most notable among these were Missions in Afghanistan, Haiti, Iraq, Kosovo, Lebanon, Liberia, Sudan, and the Palestinian West Bank (U.S. Department of State, 2009). Most Missions are part of a broader Mission set involving other international actors (the United Nations, NATO, or an ad hoc collection of other countries) addressing the three pillars identified by Persson. Some Missions were led by INL, and others conducted under the leadership of the United Nations or the U.S. Department of Defense and/or NATO.

Failures

While there were some successes in Iraq and Afghanistan, the consensus is that those Missions failed to meet the overall objectives. The stunning collapse of Afghanistan to the Taliban in 2021, as well as other recent failures, necessitates an explanation. After 20 years of effort and trillions of dollars expended, why was there failure?

A profound view is presented by C. Chris Mason (2015). Mason identifies Confirmation Bias, Groupthink, Path Dependency, and the intellectual habits of military institutions as leading causes for the failures. More pointedly, though, Mason notes "…state-building is possible, but it is best done by civilians, and it takes between 70 and 100 years to go from poverty, illiteracy, and economic under-development to a liberal democracy with stable economic growth. The role of the military is to defend it, not to build it" (p. 188).

Failure to Nation-Build

Mason (2015) notes additionally that in Iraq and Afghanistan there was no sense of national identity (p. 155). It is questionable whether state-building can be effective in the absence of nation-building. The presence of sectarian, religious or tribal divides prevents a cohesive vision shared by the population. In most cases, both nation-building and state-building activities must be initiated.

Failure to Plan Properly

Mason identified Confirmation Bias, Groupthink, Path Dependency, and the intellectual habits of military institutions as leading causes for past Mission failures. These are, in a larger sense, failures in the Strategic Plan. Businesses often rely on a SWOT (Strength, Weakness, Opportunity, Threat) analysis while developing a strategic plan. While useful, a PESTLE (Political, Economic, Sociological, Technological, Legal, and Environmental) analysis should

also be conducted (Weeks, 2020). PESTLE is intended to break through the problems of Confirmation Bias, Groupthink, and Path Dependency. By examining the Political, Economic, Sociological, Technological, Legal, and Environmental obstacles and impacts in an objective fashion (and including pathways in the plan to avoid the pitfalls identified), Mission success is more assured.

Dobbins et. al., (2007) observes, "Planning is a routine military activity, but one less developed among civilian authorities. The lead-up to most nation-building missions affords ample time for detailed planning, which should involve both the civilian and military components of the mission. Among the first issues to be addressed are the mission's objective, the intended scale of commitment, and the institutional arrangements for managing the intervention" (p. xix). In three of the most recent Police Missions (Iraq, Afghanistan, and Israeli Occupied West Bank), rather than civil agencies having control over Mission planning and execution, who better understand state-building generally, and police performance specifically, it was seeded to the military.

In the case of Iraq, the plan was controlled by the U.S military and NATO, with police advisors and Department of State input not heeded. Perito (2011) notes, "Assigning responsibility for training Iraq's police to the U.S. military produced a highly militarized force with little ability to enforce the rule of law. Setting aside the IFP, which was designed as a paramilitary force, providing military-style training to the IPS created a force of some 400,000 personnel that was inconsistent with Iraq's post conflict requirements" (p. 13).

This is not to suggest that the military has no role in international policing. Military units bring logistical and security solutions to the theater. However, the police Mission (training, mentoring, and advising) is probably accomplished more appropriately by civilian personnel.

Special Inspector General for Afghanistan summed it well: "I do not blame the military, but you cannot bring in a Black Hawk pilot to train an Afghan policeman on how to do police work. And that is what we were doing, we are still doing" (Sopko, 2020).

In the case of Afghanistan, the Special Inspector General for Afghanistan Reconstruction further explained, in testimony to the U.S. House of Representatives, six lessons learned:

"First, that successful reconstruction is incompatible with continuing insecurity. Second, unchecked corruption in Afghanistan has undermined our goals there and, unfortunately, we helped foster that corruption. Third, after the Taliban's initial defeat there was no clear reconstruction strategy and no single military service, agency, or country in charge of reconstruction efforts in Afghanistan. Fourth, politically driven timelines undermine our reconstruction efforts. Fifth, the constant turnover of U.S. personnel, or what we have euphemistically called the "annual lobotomy," negatively impacted all of our reconstruction efforts there. And sixth, to be effective, reconstruction efforts must be based on a better understanding of the historical, social, legal, and political traditions of the host nation" (Sopko, 2020).

Interestingly, the plans for Iraq and Afghanistan were different. While every Mission is unique in nuances, the primary goals and objectives should be the same (transform law enforcement towards representative policing). The "plan" should be the same, only the unique nuances in implementation of the plan will be different.

Beyond the issue of who is in charge, every individual assigned to the Mission should participate when plans are developed (Dobbins et. al., 2007). This would involve non-governmental organizations (NGO), civilians, and even representatives of the host country. The plans will be complex and involve several different parties (including NGOs). Every participant

in the Mission needs to be accounted for in the Goals and Objectives (i.e. the military will provide for security of the region).

After the plan is developed, it is also important to manage the Mission. Mission participants need to meet on a regular basis to give overview of their efforts and the metrics returned. There needs to be open and honest communication on Mission effectiveness and additional resources required.

Conclusion

State-building has been an effective foreign policy objective resulting in world peace and stability. However, preparation for state-building must be performed and predicated on established parameters for it to be effective. The works of Dobbins et. al., Mason, and Perito should serve as guides in the preparation process.

Strategic Planning

Strategic plans are built to examine and define organizational goals and objectives. The strategy is crafted to drive initiatives that produce certain results. Strategic planning is a process of defining strategy, or direction, and making decisions on allocating available resources to pursue the strategy (Mintzberg, H., & Quinn, J. B., (1996). Involved are defining inputs, activities, outputs, and outcomes. Organizations measure and monitor progress towards the objectives by established measures (Rumlet, 2011). Strategic Planning is part of Strategic Management. It is the formulation and implementation of goals, objectives, and initiatives taken, based upon consideration of resources and assessment of environments (Nag et. al., 2007). The goals, objectives, and initiatives must be specific and measurable. Rumlet (2011) notes, "Bad strategy tends to skip over pesky details such as problems. It ignores the power of choice and focus, trying instead to accommodate a multitude of conflicting demands and interests. Like a

quarterback whose only advice to teammates is "Let's win," bad strategy covers up its failure to

guide by embracing the language of broad goals, ambition, vision, and values" (p. 4-5).

Desired Outcomes

Goals are overarching desired outcomes, and the first step in a drill down approach.

Desired outcomes define the intent of the Police Mission; that which is to be achieved. The

Desired Outcomes set the conditions that differentiate representative policing from authoritarian

policing. Defining the essence of representative policing (those things that are unique to

representative policing versus autocratic policing) is the core task. The assumption is that if each

Outcome is realized, then the international community would be willing to assert that law

enforcement was being properly conducted in a representative policing model.

Objectives

Objectives are specific areas of performance to be targeted to achieve the Desired

Outcomes (Goals). This is the second step in a drill down approach. Mission Objectives are the

Performance Standards of the agency that support realization of the Desired Outcomes.

Standards must be specific and measurable.

The assumption is that if each Objective (Standard) is adhered to, then the corresponding

Desired Outcome would be achieved, and the international community would be willing to assert

that law enforcement was being properly conducted in a representative policing model.

Initiatives

Initiatives are the third step in the drill down process. How are the Objectives (Standards)

achieved? An Objective (Standard) will often require more than one Initiative to be achieved.

Initiatives can be, in many ways, sub-Objectives (sub-Standards). Initiatives comprise the work

to be done in the Mission to ensure success, those activities that international actors and host

country personnel will perform in support of the Strategic Plan. While many Initiatives require a Policy declaration, it is not enough for an agency to have a policy. The agency must demonstrate, by performance, that the policy is effective (properly written, properly trained and resourced, and properly enforced) to ensure realization of the Desired Outcome. Policy will be ineffective for one of three reasons: personnel are unaware of the policy; personnel are not motivated to comply with the policy; or personnel are not resourced in a way that allows for policy compliance. The role of International Police Advisors is to identify the reason for policy failure and address that shortcoming appropriately.

Metrics (outputs)

Performance metrics are identified to track the effectiveness of the strategy. Performance measurement is the process of collecting, analyzing and/or reporting information regarding performance. It can involve studying processes/strategies within organizations to see whether outputs are in line with what was intended or should have been achieved (Upadhaya et. al., 2014). Thinking Strategically (2005) notes, "Metrics are tools for supporting actions that allow programs to evolve toward successful outcomes, promote continuous improvement, and enable strategic decision making". Metrics need to be objective measures (rather than subjective) of performance. In the case of International Police Missions, Metrics need to be measures of host country performance, not performance of international actors.

Compiling monthly Metrics is manpower intensive and requires that participating host country agencies resource those efforts appropriately. Monthly reports (Figure 2) would be required to identify trend lines.

Metrics are normally compared to benchmark performance expectations. In this case, Target performance does need to be identified so that an assessment can be made as to the success, or failure, of the host country in the endeavor.

In 2011, the Afghanistan Police Mission metrics were subjective conclusions and observations of International Police Advisors (Figure 1). In some Missions, though, metrics are missing. The General Accounting Office (GOA) concluded in Palestinian Authority (2010), "State and USSC have not established clear and measurable outcome-based performance indicators for assessing the progress of their security assistance programs" (p. 4).

Conclusion

The works of Dobbins et. al., Fritz, V., & Menocal, A., Persson, and Whaites provide clear guidance on state-building initiatives. Coupled with the observations of Mason (2015) should help planners in creating a Mission template. There will be subtle differences between all Missions, but the goals, objectives and specific steps should remain the same. The differences in Missions will be the problems encountered implementing the plan, not in the plan itself.

Building Global Police Standards

While each police Mission is unique, they are not unique in their goal. The Mission is the same: transition law enforcement to a representative methodology and build sustainable capacity. The challenges faced in each Mission will be different, but all Police Missions have the same mandate. Just as there should be a template for state-building plans in general, specifically with regards to Police Missions (Rule of Law initiatives under Persson's security pillar), there should be internationally recognized performance standards. The Commission on Accreditation of Law Enforcement Agencies (CALEA) sets standards for U.S. Police agencies and measures compliance towards those standards. These standards, however, encompass a broad set of Industry Best Practices, rather than a narrow set of internationally recognized standards.

Considerations

In 2009, the Geneva Centre for the Democratic Control of Armed Forces (DCAF) published International Police Standards Guidebook on Democratic Policing (cited throughout this text as Carty, 2009). Though this is a fantastic academic work, some of the standards proposed are more oriented to Industry Best Practices than the minimal standards required. Some standards are too abstract to be measurable, and others fall more towards Rule of Law generally. Regardless, Carty's work is well researched and well thought out.

The Mission is not to construct a model police agency. Rather, the Mission is to transform the agency so that it meets minimal standards for representative policing. The Objectives (Standards) set conditions that result in the Outcomes being achieved. While Desired Outcomes form the expectations that donor entities hope to achieve, Objectives (Standards) provide what is required to achieve the Outcomes. All Standards will be Industry Best Practice, but not all Industry Best Practices should be Standards. Industry Best Practice assume cultural norms and

resource capabilities that might not be present in a Host Country. Industry Best Practices that are not integral to achieving a Desired Outcomes identified in the Strategic Plan should be excluded. If Host Country leaders are properly trained, there will be ample ability for the agency to research and implement Industry Best Practices desired later.

The transition from autocracy to democracy challenges the "norms" of society. The population developed some level of comfort for the way things were. State-building Missions challenge those "norms". Some of those challenges are necessary (e.g., gender rights). To the extent possible, though, the challenges should be kept to a minimum. The Mission is not to recreate the policing experience of the United States or any European country. It would be easy to assume that the same geo-political or cultural conditions apply universally, but they don't.

Resourcing

As noted by Mason (2015), state-building is a generational endeavor. Beyond the time commitment, state-building also requires hefty expenditures. Ensuring the Mission is properly resourced present challenges that must be reconciled (who is paying for what). In addition to the uniforms, weapons, equipment, vehicles, and training expenses, personnel numbers and costs must be determined. The host country's police force size can be estimated as one officer (at an annual cost of three times the country's per capita GDP for each officer) for every 500 inhabitants (Dobbins et. al., 2007, p. xxviii).

International actors will need, at a minimum, one international police officer for every ten thousand host country inhabitants. If executive authority is given (international officers are responsible for the enforcement of law), one international police officer for every one thousand local inhabitants will be required (Dobbins et. al., 2007, p. xxviii).

Law Enforcement separate from Corrections

Carty (2009) specifies that police should not operate prisons (Standard 19, p. 33). This theme is also echoed by the Council of Europe (2001). Corrections is often viewed as a government function separate from law enforcement; however, in the United States many Sheriff Offices are tasked with maintaining detention facilities. Detention standards are not included in this model, but a similar Strategic Plan could be built based on United Nations guidance found in United Nations Standard Minimum Rules for the Treatment of Prisoners, *General Assembly resolution 70/175, annex, adopted on 17 December 2015* (United Nations, 2015).

Predicate Conditions

Police Missions must be predicated on existing conditions. Iraq and Afghanistan serve as stark examples of the perils of failing to achieve the nation-building condition prior to initiating state-building.

For law enforcement to transform towards representative policing, four predicate conditions must be present: Freedom of Speech; Freedom of Assembly; Freedom of Movement; and an Independent Judiciary. Without these conditions present, transformation of police services will be difficult at best.

Police are the face of government seen every day by citizens (Carty, 2009, Standard 1; Bayley, 2001; Travis, 1998). It will be the police that interfere with speech, assembly, and movement of citizens. While police are paid by government, the police operate by consent of the population (Carty, Standard 95, page 21). Limiting speech, assembly and movement are the government activities of tyrants not servants. Without these predicates in place, police will be seen more as vested in the government than the population they protect and serve.

Freedom of Speech

As a predicate to police reform, Freedom of Speech and of the press is funadamental. It is listed as a predicate to police reform because it is a benchmark of representative government (OSCE, 1990). Article 19 of the United Nations Declaration of Human Rights provides, "Everyone has the right to freedom of opinion and expression; this right includes freedom to hold opinions without interference and to seek, receive and impart information and ideas through any media and regardless of frontiers."

Carty (2009) notes in Standard 8, "...democratic policing requires that the police simultaneously stand outside of politics and protect democratic political activities and processes (e.g., freedom of speech, public gatherings, and demonstrations)" (Greenwood, D. & Huisman, S., 2005 as cited in Carty, 2009). This principle is also provided for by Amnesty International (1998). Additionally, Factor 4.4 in Measuring the Rule of Law 4.4 mandates, "Freedom of opinion and expression is effectively guaranteed" (Botero, J.C., & Ponce, A., (2010).

Freedom of Assembly

Likewise, Freedom of Assembly is a bedrock of representative government (OSCE, 1990). When coupled with Freedom of Speech, a wall against tyranny is built. Factor 4.7 in Measuring the Rule of Law mandates, "Freedom of assembly and association is effectively guaranteed" (Botero, J.C., & Ponce, A., 2010). Language is similar in the United Nations Declaration of Human Rights (Article 20) "Everyone has the right to freedom of peaceful assembly and association". This principle is also provided for by Amnesty International (1998).

Carty (2009) notes in Standard 9 "...democratic policing requires that the police simultaneously stand outside of politics and protect democratic political activities and processes

(e.g., freedom of speech, public gatherings, and demonstrations)" (Greenwood, D. & Huisman, S., 2005 as cited in Carty, 2009).

Freedom of Movement

In Iraq and Afghanistan, a more military approach to law enforcement was decreed, in part because of deteriorating security conditions. Law enforcement looked far different from the Western World example. There were few, if any, preventative patrols conducted. If patrols were conducted, they were done in mass, with multiple police traveling in the beds of pick-up trucks running lights and siren around town (a show of force). Police remained either in the station all day, or at assigned check points.

Check Point policing runs counter to Representative Policing. In the United States, law enforcement use of Check Point has been limited by the U.S. Supreme Court (City of Indianapolis v. Edmond, 2000). By comparison, in Iraq and Afghanistan, a citizen might pass through multiple check points each day (having to show papers and be subject to warrantless search). Representative governance is government working on the behalf and consent of the populations. When Freedom of Movement is absent, for whose interest is government working?

Article 13 of the United Nationals Declaration of Human Rights provides:

(1) Everyone has the right to freedom of movement and residence within the borders of each state.

(2) Everyone has the right to leave any country, including his own, and to return to his country.

This principle is also provided for by Amnesty International (1998).

Independent Judiciary

In representative government, the judiciary function cannot be a rubber stamp for government. The judiciary is an integral part of the checks and balance that prevents arbitrary government action. A functioning and Independent Judiciary is required to ensure proper application of basic Human Rights (United Nations, 1985). An Independent Judiciary also ensures Rule of Law and establishes that the law applies equally to all (Dobbins et. al., 2007, P 74).

Conclusion

Developing Global Police Standards should be restrained to identifying only those Standards required to achieve minimal performance in representative policing. To develop Standards outside of this constraint may result in conflict with cultural influences and/or resource capacities.

Too, Global Police Standards specifically, and International Police Missions in general, do not occur in a vacuum. These are part of the broader Rule of Law reform, and must be predicated on Freedom of Speech, Freedom of Assembly, Freedom of Movement, and the existence of an Independent Judiciary.

Global Police Standards

1.   Outcome: Law enforcement embraces Human Rights

It would be difficult to speak of representative governance without mentioning Human Rights. The United Nations summarized that Human Rights is intrinsically linked to the peace and stability of any country (United Nations ,1948). Law enforcement does not have sole responsibility for attaining an acceptable level of Human Rights (an Independent Judiciary and general Rule of Law are also required), but attainment does require that law enforcement embrace the principles of Human Rights. Police must operate in accordance with national and international law and respect Human Rights (United Nations, 1966; CSCE, 1975; United Nations, 1979; Council of Europe, 2000; Council of Europe, 2001; Carty, 2009, Standards 10, 35, 37, 55, 94, 121, 139, and 153).

1.1   Standard: Human Rights are Respected

Law Enforcement must both recognize and respect the principles of Human Rights (United Nations, 1979). Human Rights are at the core of representative governance. Carty (2009) addresses this in Standard 10: "…the police must at all times operate in accordance with… human rights standards" (p. 13) (United Nations, 1966; CSCE, 1975; United Nations, 1979; Council of Europe, 2000).

1.1.1   Initiative: Policy recognizes Universal Declaration of Human Rights

To promote an agency's commitment to Human Rights, internal policy should formally recognize the Universal Declaration of Human Rights.

1.1.1.1 Metric: Policy recognizing Human Rights exists (Target performance equals Yes).

1.1.2.   Initiative: Personnel are trained in Universal Declaration of Human Rights

Training sets expectations of performance. Sworn police personnel must be trained in the elements contained in the Universal Declaration of Human Rights. Standard 150 in Carty (2009) identifies the need to train personnel in Human Rights (Council of Europe, 2001; OSCE, 2002; HCNM, 2006; Independent Commission on Policing for Northern Ireland, 1998).

1.1.1.2 Metric: Total number of sworn personnel trained in Universal Declaration of Human Rights divided by total number of sworn personnel (Target performance increasing to 100%).

1.1.3   Initiative: Sworn personnel are trained on policing within the confines of the Universal Declaration of Human Rights

Standard 147 in Carty (2009) identifies the importance of training personnel in Human Rights (Council of Europe, 1979; CSCE, 1990, article 16.4; United Nations, 1996). International Human Rights standards change the way police operate. While understanding the Human Rights standards are important, learning how to effectively operate within those constraints is important as well.

1.1.1.3 Metric: Total number of sworn personnel trained in policing within the confines of Universal Declaration of Human Rights divided by Total number of sworn personnel (Target performance increasing to 100%).

1.1.4   Initiative: Sworn personnel receive training in Implicit Bias and Prejudice

Understanding what Implicit Bias and Prejudice mean, how they are formed in the human experience, and the impact on communities is an important first step to ensure bias free policing.

While everyone develops biases, police must refrain from relying on their biases in completing

their assigned duties. The research, though, shows training is not sufficient, by itself, to impact

bias-based policing. Feigenberg et. al. (2021) concludes, "From this available evidence we would

not conclude that implicit bias training is intrinsically incapable of changing policing outcomes.

It is logically possible that other types of implicit bias training content or delivery modalities, or

more intensive trainings could have more pronounced impacts than what we have seen to date in

both policing and non-policing contexts. But, it would appear that the specific implicit bias

interventions which have been rigorously studied are unlikely to have substantial impacts on the

policing outcomes…" (p. 1). However, Feigenberg et. al. (2021) did include, "Recent survey-

based evidence from evaluations of implicit bias trainings does provide some cause for

optimism. For instance, the Urban Institute's evaluation of interventions developed through the

National Initiative for Building Community Trust and Justice found that, after implicit bias

trainings, officers tended to have greater understanding of the potential for implicit biases and

situational factors to influence their decisions" (p. 5).

> *1.1.1.4 Metric: Total number of sworn personnel receiving training in bias and*
>
> *prejudice divided by the Total number of sworn personnel (Target performance*
>
> *equals 100%).*

1.1.5   Initiative: Sworn personnel receive training in Domestic Violence and Domestic Disturbances

Ensuring personnel understand issues centered on Domestic Violence and its relation to

Human Rights helps ensure that the Human Rights of all citizens is protected. A society that

accepts Domestic Violence is not in compliance with United Nations Declaration of Human

Rights. The U.S. Department of Justice, Office of Justice Programs notes on their website, "The

crime of domestic violence is complex and law enforcement officers often feel frustrated and discouraged when responding. Officers provide as much support to victims as possible, but when equipped with a better understanding of the nuances and dynamics of this intimate partner crime, they can more effectively address victims' needs and hold offenders accountable".

> *Metric: Total number of sworn personnel receiving training in Domestic Violence and Domestic Disturbances divided by the Total number of sworn personnel (Target performance equals 100%).*

1.1.6 Initiative: Sworn personnel receive training in understanding mental illness and its impact on policing

Persons suffering from mental illness present unique challenges for law enforcement officers. Developing strategies for working with the mentally ill and ensuring equal law enforcement to those inflicted requires training. The Law Enforcement Policy Center (2018) notes, "It is the policy of this agency that officers be provided with training to determine whether a person's behavior is indicative of a mental health crisis and with guidance, techniques, response options, and resources so that the situation may be resolved in as constructive, safe, and humane a manner as possible" (p. 1). They also note, "Responding to situations involving individuals reasonably believed to be a person in crisis necessitates an officer to make difficult judgments about the mental state and intent of the individual and necessitates the use of special skills, techniques, and abilities to effectively and appropriately resolve the situation, while minimizing violence. The goal is to de-escalate the situation safely for all individuals involved when reasonable and consistent with established safety priorities" (p. 1).

1.1.6.1 Metric: Total number of sworn personnel receiving training in understanding mental illness and its impact on policing divided by Total number of sworn personnel (Target performance equals 100%).

1.1.7   Initiative: Policy requires criminal defendants be afforded all legal protections and guarantees provided by law

Standard 55 in Carty (2009) provides police "…respect fundamental human and civil rights…" when making arrests (United Nations, 1948; Amnesty International, 1998; Bruce, D. & Neild, 2005). The legal protections and guarantees themselves are a function of Rule of Law. Whatever protections and guarantees are provided by law should be required by Policy to be respected by law enforcement.

1.1.7.1 Metric: Policy requiring adherence to protection of criminal defendant legal rights exists (Target performance equals Yes).

1.1.8   Initiative: Quarterly public surveys query the agency's protection of criminal defendant's legal rights

Standard 103 in Carty (2009) identifies the value in public surveys. In the business sense, Continuous Improvement and Total Quality Management models are improved by the data collected from these surveys. In a larger sense, though, conducting frequent citizen surveys helps to establish that the citizens are the ultimate customer of the police. It could be argued that conducting surveys is more Industry Best Practice than a minimal Standard. However, in countries emerging from conflict and transitioning to representative government, it becomes an important mechanism for encouraging citizen involvement in government (and an effective way to measure police performance).

1.18.1 Metric: Quarterly Public Survey is conducted (Target performance equals Yes).

1.1.8.2 Metric: Citizen Survey results regarding agency's protection of criminal defendant's legal rights (Target performance increasing to 100%).

1.1.9   Initiative: Policy requires rendering of aid to all injured persons

Standard 71 in Carty (2009) requires assistance and medical aid be provided to all persons. In representative governance models, law enforcement should be viewed as partners with the community rather than an arm of government. Police provide service to community members and rendering aid to all injured persons cements that relationship.

1.1.9.1 Metric: Policy requiring rendering aid to all injured persons exists (Target performance equals Yes).

1.1.9.2 Metric: Total number of sworn personnel trained to render aid to all persons divided by Total number of sworn personnel (Target performance increasing to 100%).

1.1.10 Initiative: Sworn personnel receive training in first aid

Rendering medical aid to citizens helps focus law enforcement on the service their provide to the community. For that aid to be effective, though, requires sworn personnel to receive training in first aid.

1.1.10.1 Metric: Total number of sworn personnel receiving training in first aid divided by the total number of sworn personnel (Target performance increasing to 100%).

1.2   Standard: Law enforcement is not tolerant of Human Rights violations

It is not enough to recognize Human Rights. Law Enforcement must demonstrate a lack of tolerance for Human Rights violations (United Nations, 1979). Standard 132 of Carty (2009) provides that the police environment should be culturally neutral and free of sexually, religiously or nationally offensive symbols (European Platform for Policing and Human Rights, 2004; High Commissioner on National Minorities, Recommendations on Policing in Multi-Ethnic Societies, 2006).

1.2.1   Initiative: Policy identifies mechanisms for internal and external reporting of Human Right violations

Carty (2009) also proposes Standard 133, which provides for internal complaint mechanisms regarding gender-neutral and multicultural issues (Rotterdam Charter, 1996; HCNM, 2006). Human Rights serves as the backbone for representative governance, so it stands to reason that violations of Human Rights by anyone should be seen as a serious threat to governance and collective interests of citizens. Providing both internal and external mechanisms for reporting Human Rights violations helps ensure violations are captured and investigated.

1.2.1.1 Metric: Policy exists for internal reporting of Human Rights violations (Target performance equals Yes).

1.2.1.2 Metric: Policy exists for external reporting of Human Rights violations (Target performance equals Yes).

1.2.2   Initiative: Policy prohibits retaliation against persons reporting Human Rights violations

Standard 32 in Carty (2009) prohibits retaliation towards persons reporting corruption, and Standard 142 prohibits retaliation towards officers reporting corruption. Initiative 1.2.2 extends that protection to persons reporting Human Rights violations. For policies relating to

corruption and Human Rights to be effective, persons must feel safe and secure from retaliation in reporting suspected violations.

> ***1.2.2.1 Metric: Policy prohibiting retaliation against persons reporting Human Rights violations exists (Target performance equals Yes).***

1.2.3   Initiative: Policy requires reporting of Human Rights violations, codified in official police reports

Just as police should be required to report all acts of corruption (Carty, 2009, Standard 31; Council of Europe, 2001; United Nations, 2003), so too should they be required to report all Human Rights violations.

> ***1.2.3.1 Metric: Policy requiring reporting of Human Rights violations in official police reports exists (Target performance equals Yes).***

1.2.4   Initiative: Reports of Human Rights violations are investigated

Human Rights violations can occur external or internal to the agency. Human Rights violation allegations external to the organization should be investigated as in any other criminal offense allegation. Initiative 1.2.4, herein, assumes that an act internal to the agency has been alleged. In those instances, Carty (2009) proposes Standard 79, which requires an independent investigation of all alleged violations of Human Rights. However, in Standard 87, Carty (2009) also provides value in internal investigations. Initiative 1.2.4 requires an investigation, but does not require that the investigation be conducted by independent actors (though in some instances that might be the best option). Requiring independent investigations of internal Human Rights violations is probably Industry Best Practice, but at a minimum the reported violations should be investigated.

1.2.4.1 Metric: Total number of reported internal Human Rights Violations assigned for investigation divided by Total number of internal Human Rights violations (Target performance increasing to 100%).

1.2.5   Initiative: Human Rights violation investigations regarding the agency or agency personnel are required by Policy to result in a finding of Sustained, Exonerated, or Unfounded

Not addressed in Carty (2009) is how Human Rights investigations are closed. There must not be any ambiguity in conclusions drawn from investigations. Corruption and tolerance hide in the shadows of ambiguities.

1.2.5.1 Metric: Human Rights violation investigations regarding the agency or agency personnel are required by Policy to result in a finding of Sustained, Exonerated, or Unfounded (Target performance equals Yes).

1.2.5.2 Metric: Total number of Sustained findings divided by Total number of reported violations of Human Rights (Target performance - none - used in calculating Metric 1.2.5.6).

1.2.5.3 Metric: Total number of Exonerated findings divided by Total number of reported violations of Human Rights (Target performance - none - used in calculating Metric 1.2.5.6).

1.2.5.4 Metric: Total number of Unfounded findings divided by Total number of reported violations of Human Rights (Target performance - none - used in calculating Metric 1.2.5.6).

1.2.5.5 Metric: Total number of open investigations of Human Rights violations divided by the Total number of reported violations of Human Rights (Target performance - none - used in calculating Metric 1.2.5.6).

1.2.5.6 Metric: Total of Sustained plus Total of Exonerated plus Total of Unfounded plus Total of Open Investigations divided by Total number of reported Human Rights violations (Target performance increasing to 100%).

1.2.6   Initiative: Results of Human Rights violation investigations regarding the agency or agency personnel are reviewed internally by Command Staff elements in the appropriate Chain of Command, who must either agree with the findings or refer the file back for further investigation

Carty (2009) speaks to the use of civilian oversight boards in Standards 83, 84, 85, 86, 87, 88 and 94. However, Standard 2.2 (Initiative 2.2.1) desires to hold supervisors and managers accountable for the actions of subordinates. By demanding Command Staff (within the relevant Chain of Command) review Human Rights investigations, the future supervisor or manager defense "I didn't know" is removed from the equation. Though civilian oversight can be used (and is seen here as Industry Best Practice), those efforts should be in addition to the mandated internal review by Command Staff Chain of Command involved.

> *1.2.6.1 Metric: Total number of Human Rights investigative file conclusions regarding the agency or agency personnel agreed to by Command Staff divided by Total number of Human Right violation reports (Target performance increasing to 100%).*

1.2.7   Initiative: In cases where Command Staff concludes a report of Human Rights violation regarding the agency or agency personnel is Sustained, appropriate disciplinary action is taken

In all cases of investigations where allegations are sustained, some level of disciplinary action must be taken. This can include a wide spectrum of actions from retraining through termination and criminal prosecution (depending on the severity). In Standard 149, Carty (2009) implies the use of sanctions on those who violate Human Rights (in that he proposes police training include sanctions on those who violate Human Rights).

1.2.7.1 Metric: Total number of disciplinary actions for violation of Human Rights divided by Total number of Sustained Human Rights violations regarding the agency or agency personnel (Target performance increasing to 100%).

1.2.8   Initiative: Results of Human Rights violation investigations are reviewed by prosecutorial authorities for potential criminal charges

Standard 84 in Carty (2009) speaks to police oversight, in part, by the judiciary. All reports of Human Rights violations should be reviewed by prosecutorial authorities (regardless of determination of Sustained, Exonerated or Unfounded). This provides confidence to the public that an impartial determination has been made.

1.2.8.1 Metric: Total number of Human Rights violation files referred to prosecutorial authorities divided by Total number of reported Human Rights violations (Target performance increasing to 100%).

1.2.9   Initiative: Results from Human Rights violation investigations are reviewed by Training Staff and future Training is adopted or modified accordingly

Standard 146 of Carty (2009) addresses the need for training to be focused on case studies and real-life experiences. A review of Human Rights violations investigative files by Training Staff assist staff in identifying trend lines that need to be addressed in future Training, and examples that can be infused into current training agendas.

1.2.9.1 Metric: Total number of reported Human Rights violations reviewed by Training Staff divided by Total number of reported Human Rights violations (Target performance increasing to 100%).

1.2.10 Initiative: Quarterly public surveys are conducted seeking information on unreported or uninvestigated Human Rights violations, as well a consensus of police performance against Human Rights Standards

Standard 103 in Carty (2009) identifies the need for public surveys. The intent is two-fold: Identify unreported or uninvestigated allegations, and measure public confidence that police adhere to Human Rights Standards. It could be argued that conducting surveys is more Industry Best Practice than a minimal Standard. However, in countries emerging from conflict and transitioning to representative government, it becomes an important mechanism for encouraging citizen involvement in government (and an effective way to measure police performance).

1.2.10.1 Metric: Quarterly public surveys are conducted seeking information on unreported or uninvestigated Human Rights violations (Target performance equals Yes).

1.2.10.2 Metric: Number of unreported and uninvestigated Human Rights violations from Citizen Survey results (Target performance decreasing to 0).

1.2.11 Initiative: Law enforcement publishes a public report on a yearly basis detailing Human Rights violations reported during the previous year

Standard 98 in Carty (2009) provides for public information reports on Human Rights violations and corruption. Public reports increase transparency and provide some level of citizen oversight.

1.2.11.1 Metric: Public report on reported Human Rights violation is published yearly (Target performance equals Yes).

1.3   Standard: Law enforcement Use of Force is appropriate

Law enforcement is authorized to use force against citizens, but that force must be reasonable and proportional to be appropriate (United Nations, 1979). Standard 67 under Carty (2009) provides, "…police must have as their highest priority the respect for and the protection of life" (United Nations, 1948; Council of Europe, 1950; Council of Europe, 2001; United Nations, 2006 as cited in Carty, 2009). Use of Force is the ultimate exercise of power by the government over the liberty of free persons, and always must be used appropriately within international standards.

1.3.1   Initiative: A Use of Force Policy details when force may be used and under what circumstances

Use of Force by law enforcement represents compliance to government, by force, on free and independent citizens. It should be guided by well thought out Policy that establishes under what circumstances, and to what degree, it can be applied. The Policy should stress the agency commitment to preservation of life, but also identify officer safety as a primary concern. Though not addressed by subsequent Standards, the Use of Force Policy should identify less-than-lethal (non-lethal) alternatives available to officers.

1.3.1.1 Metric: Policy defining Use of Force authorization exists (Target performance equals Yes).

1.3.1.2 Metric: Policy defines Less than Lethal alternatives (Target performance equals Yes).

1.3.2   Initiative: Policy requires all Use of Force be reported

Standard 73 in Carty (2009) requires mandatory reporting of all firearms discharged, but does not address non-firearms related Use of Force (United Nations, 1990; United Nations, 1979). There is need to extend Carty's requirement to all incidents of Use of Force. As noted, Use of Force represents forced compliance, by free citizens, to government. This is the ultimate exercise of government, and in all circumstances must be justified. To ensure the effective capture of all relevant data, this should be done on a standardized Use of Force report.

> *1.3.2.1 Metric: Policy requires reporting of all Use of Force exists (Target performance equals Yes).*

> *1.3.2.2 Metric: Use of Force Report form exists (Target performance equals Yes).*

1.3.3   Initiative: Sworn personnel receive training in Use of Force

For Policy to be effective, the workforce needs to be trained, and prove proficiency in, Use of Force (including soft-hand and hard-hand tactics, batons, and other less-than-lethal alternatives).

> *1.3.3.1 Metric: Total number of sworn personnel receiving training in Use of Force divided by Total number of sworn personnel (Target performance increasing to 100%).*

1.3.4   Initiative: Policy establishes minimum Standards of firearms qualification for personnel to be armed

Standard 72 under Carty (2009) requires firearms proficiency from those officials who are armed (United Nations, 1990; Council of Europe, 2001). Proficiency examinations are

meaningless unless minimum standards are established, and proficiency is compared to those standards.

>>> *1.3.4.1 Metric: Policy that sets minimum firearms qualification standard exists (Target performance equals Yes).*

1.3.5 Initiative: All armed personnel receive training in the use of firearms

Standard 72 in Carty (2009) provides that personnel receive training in the use of firearms (United Nations, 1990; Council of Europe, 2001). Not only do armed personnel need training on how to use firearms, but training is also needed to establish when to use firearms.

>>> *1.3.5.1 Metric: Total number of armed personnel receiving training in use of firearms divided by total number of armed personnel (Target performance increasing to 100%)*

1.3.6 Initiative: Policy establishes remedial actions to be taken if armed personnel fail to qualify with firearms

If firearms qualification is required, then likewise there must be some action in those cases where personnel failed to qualify. While one action might be to not allow the person to carry a weapon, a more reasoned approach might require remedial training as an alternative.

>>> *1.3.6.1 Metric: Policy identifying remedial action for personnel that fail to qualify with weapons exists (Target performance equals Yes).*

1.3.7 Initiative: Armed personnel qualify with weapons annually

Weapons proficiency is a perishable skill (Blumberg et. al., 2019). Whether by Policy or practice, personnel (minimally) need to qualify with firearms annually to maintain adequate proficiency.

1.3.7.1 Metric: Total number of armed personnel qualifying in a year divided by Total number of armed personnel (Target performance increasing to 100%).

1.3.8   Initiative: Use of Force reports are investigated by supervisory personnel and are categorized as Justified or Unjustified

Carty addresses this, in part, in Standard 74 by requiring an investigation on Use of Force reports. Carty goes beyond this requirement in the Standard and requires that inappropriate Use of Force be considered a criminal offense. Carty's requirement assumes legislative action has been taken (in adopting such a criminal offense) which is outside the purview of law enforcement (i.e., law enforcement cannot control what laws the legislature adopts). There is no disagreement that inappropriate Use of Force should be considered a criminal offense, only that a law enforcement Standard identifying inappropriate Use of Force as a criminal offense is outside the concern of law enforcement (and in the broader Rule of Law reform). In Standard 87, Carty (2009) identifies the value in internal investigations on misconduct allegations. Standard 89 of Carty (2009) provides that identified procedures be activated upon death or injury from Use of Force.

1.3.8.1 Metric: Total number of Use of Force reports filed categorized as Justified (Target performance - none - used in calculation of Metric 1.3.8.3).

1.3.8.2 Metric: Total number of Use of Force reports filed categorized as Unjustified (Target performance - none - used in calculation of Metric 1.3.8.3).

1.3.8.3 Metric: Total number of Justified Use of Force reports plus Total number of Unjustified Use of Force reports divided by Total number of Use of Force Reports (Target performance increasing to 100%).

1.3.9   Initiative: Results of Use of Force investigations are reviewed internally by Command Staff elements, in the appropriate Chain of Command, who must either agree with the findings or refer the investigation back for further investigation

Carty (2009) speaks to the use of civilian oversight boards in Standards 83, 84, 85, 86, 87, 88 and 94. However, Standard 2.2 (Initiative 2.2.1) desires to hold supervisors and managers accountable for the actions of subordinates. By demanding Command Staff (within the relevant Chain of Command) to review Use of Force investigations, the future supervisor or manager defense "I didn't know" is removed from the equation. Though civilian oversight can be used (and is seen here as Industry Best Practice), those efforts should be in addition to the mandated internal review by Command Staff and Chain of Command involved.

1.3.9.1 Metric: Total number of Use of Force reports reviewed by Command Staff divided by Total number of Use of Force reports (Target performance increasing to 100%).

1.3.10 Initiative: In cases where Command Staff concludes a Use of Force was Unjustified, appropriate disciplinary action is taken

In all cases of investigations where allegations are sustained, some level of disciplinary action must be taken. This can include a wide spectrum of actions from retraining in Use of Force through termination and criminal prosecution (depending on the severity).

1.3.10.1 Metric: Total number of Use of Force reports categorized as Unjustified AND disciplinary action is taken divided by Total number of Use of Force reports categorized as Unjustified (Target performance increasing to 100%).

1.3.11 Initiative: Results of Use of Force investigations are reviewed by prosecutorial authorities for potential criminal charges

Standard 74 in Carty (2009) provides, "The disproportionate use of force has to be qualified as a criminal offence" (United Nations, 1990; United Nations, 1979). As previously addressed, this requirement assumes that legislative bodies have established this as a criminal offense (which is outside the control of law enforcement). Standard 84 in Carty (2009) speaks to police oversight, in part, by the judiciary. All reports of Use of Force should be reviewed by prosecutorial authorities (regardless of determination of Justified or Unjustified). This provides confidence to the public that an impartial determination has been made.

1.3.11.1 Metric: Total number of Use of Force Reports reviewed by prosecutors divided by Total number of Use of Force Reports (Target performance increasing to 100%).

1.3.12 Initiative: Results of Use of Force investigations are reviewed by Training Staff and future Training is adopted or modified accordingly.

Standard 146 of Carty (2009) addresses the need for Training to be focused on case studies and real-life experiences. A review of Use of Force investigative files by Training Staff help staff identify trend lines that need to be addressed in future training, and examples that can be infused into current training agendas.

1.3.12.1 Metric: Total number of Use of Force reports reviewed by Training divided by Total number of Use of Force Reports (Target performance increasing to 100%).

1.3.13 Initiative: Quarterly public surveys are conducted seeking information on unreported or uninvestigated Use of Force incidents, as well a consensus of police performance related to Use of Force

Standard 103 in Carty (2009) identifies the need for public surveys. The intent is two-fold: Identify unreported or uninvestigated allegations and measure public confidence that police Use of Force is appropriate. It could be argued that conducting surveys is more Industry Best Practice than a minimal Standard. However, in countries emerging from conflict and transitioning to representative government, it becomes an important mechanism for encouraging citizen involvement in government (and a good way to measure police performance).

1.3.13.1 Metric: Quarterly public surveys are conducted seeking information on unreported or uninvestigated Use of Force, as well as consensus of police performance related to Use of Force (Target performance equals Yes).

1.3.13.2 Metric: Number of unreported and uninvestigated Use of Force incidents from Citizen Survey results (Target performance decreasing to 0).

1.3.14 Initiative: Yearly, law enforcement publishes a public report detailing Use of Force reported during the previous year (including number of reports received; number Justified and number of Unjustified; disciplinary actions taken; criminal referrals; and results from public surveys conducted

Standard 98 in Carty (2009) provides for public information reports on Human Rights and corruption. This should be expanded to include Use of Force as Use of Force represents the opportunity for government over-reach. Public reports increase transparency and provide some level of citizen oversight.

1.3.14.1 Metric: Public report on Use of Force is published yearly (Target performance equals Yes).

2.   Outcome: Law enforcement embraces Rule of Law

The guiding principle in Rule of Law is that all are equal under the law. Article 7 of the Universal Declaration of Human Rights provides, "All are equal before the law and are entitled without any discrimination to equal protection of the law". Carty (2009) notes, in Standard 34, that police "must…always adhere to upholding the rule of law, in accordance with the best international standards and the procedural rules and policies laid down in the applicable national and local laws" (p. 15). Standard 10 in Carty (2009) provides that police "must at all times…demonstrate commitment to the rule of law in practice" (United Nations, 1996) (p 13).

2.1   Standard: Law is enforced without favor or prejudice

Law must be enforced equally (OSCE, 1990). Article 7 of the Universal Declaration of

Human Rights provides, "All are equal before the law and are entitled without any

discrimination to equal protection of the law. All are entitled to equal protection against any

discrimination in violation of this Declaration and against any incitement to such

discrimination". Carty (2009) provides, in Standard 36, that law is enforced without

discrimination. The issue is also referenced in: CSCE (1975); CSCE (1989); Amnesty

International (1998); Council of Europe (2000); and Council of Europe (2003).

2.1.1   Initiative: Policy requires personnel to protect all citizens equally

The 14th Amendment to the U.S. constitution ensures equal protection under the law. All

persons should be equal under the laws of the State. Carty (2009) addresses this in

Standard 3 ("…deliver their services promptly, and in an equal and unbiased manner") (p.

12), Standard 16 ("…enforce the law regardless of a suspect's social standing or

organizational or political affiliation") (p. 13), and again in Standard 37 ("States are

obliged to provide for "the right to security of person and protection by the State against

violence or bodily harm...") (p. 15). Carty (2009) also addresses the issue in Standard 39

("Guaranteeing the equal protection of all before the law also prohibits the police from

discriminating against any person on the basis of race, gender, religion, language, color,

political opinion, national origin, property, birth or other status") (p. 15). Carty (2009) re-

enforces this in Standard 124 by noting Police "...must therefore act with unquestionable

fairness towards all groups" (p.25). This is based on the Universal Declaration of Human

Rights (United Nations, 1948), and further codified by: the European Convention on

Human Rights/Convention 13 for the Protection of Human Rights and Fundamental

Freedoms (Council of Europe, 1950); the International Convention on the Elimination of All Forms of Racial Discrimination (United Nations,1965); International Covenant on Civil and Political Rights (United Nations,1966); Code of Conduct for Law Enforcement Officials (United Nations, 1979); the Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities (United Nations, 1993); and the Code of Police Ethics (Council of Europe, 2001).

2.1.1.1 Metric: Policy requiring protection of all citizens exists (Target performance equals Yes).

2.1.2   Initiative: Policy requires enforcement of law regardless of suspect's social standing or organization or political affiliation

Standard 16 in Carty (2009) provides law enforcement "…enforce the law regardless of a suspect's social standing or organizational or political affiliation" (p. 13). Article 7 of the United Nations Declaration of Human Rights identifies that "All are equal before the law and are entitled without any discrimination to equal protection of the law".

2.1.2.1 Metric: Policy requiring enforcement of law regardless of suspect's social standing or organization or political affiliation exists (Target performance equals Yes).

2.2   Standard: Personnel are responsible and accountable

In representative policing, law enforcement personnel are held to a high standard. Personnel must be responsible and held accountable, for not only their actions or omissions, but as well for the performance of their subordinates (Carty, 2009; Council of Europe, 2001; OSCE, 1990). Carty (2009) notes in Standard 8, "...public trust and confidence in the police are prerequisites for effective policing" (p. 12).

2.2.1   Initiative: Policy identifies that personnel are responsible for their actions and omissions and for the actions and omissions of their subordinates

Standard 121 in Carty (2009) establishes that supervisors must be responsible for the actions of subordinates. Standard 122 of Carty (2009) extends this requirement to senior police officials (United Nations, 1990). Note that Initiative 1.2.6 requires Command Staff review of investigations regarding Human Rights violations; Initiative 1.3.10 requires Command Staff review of investigations regarding Use of Force; and Initiative 2.9.7 requires Command Staff review of investigations regarding Corruption.

> *2.2.1.1 Metric: Policy that holds personnel responsible for their actions and omissions and for action and omissions of subordinates exists (Target performance equals Yes).*

2.3   Standard: Unlawful orders are not followed

To ensure principles of Representative Policing are adhered to, law enforcement personnel must hold superiors responsible and accountable when following unlawful orders (Council of Europe, 2001). Carty (2009) notes in Standard 13, "The police…should refrain from carrying out any order they know, or ought to know, is unlawful" (p. 13).

2.3.1   Initiative: Policy prohibits following unlawful orders

As noted, Standard 13 in Carty (2009) provides police should not carry out unlawful orders. This is echoed by the Council of Europe (2001): "Police personnel shall carry out orders properly issued by their superiors, but they shall have a duty to refrain from carrying out orders which are clearly illegal and to report such orders, without fear of sanction."

2.3.1.1 Metric: Policy prohibiting following unlawful orders exists (Target performance equals Yes).

2.4   Standard: Arrests are made consistent with law, are not arbitrary, and are otherwise made appropriately.

Article 9 of the Universal Declaration of Human Rights (1948) prohibits arbitrary arrests. Arrests must be made consistent with law (CSCE,1990). Arbitrary arrests should be prohibited (Amnesty International 1989). Standard 55 in Carty (2009) provides, "Depriving persons of their liberty should be as limited as possible" (page 17).

2.4.1   Initiative: Policy identifies when an arrest may be made within the confines of law and prohibits arbitrary arrests

As noted by Amnesty International (1989), arbitrary arrests should be prohibited. To accomplish this, not only should Policy prohibit arbitrary arrests, but should identify more generally when an arrest may be made.

2.4.1.1 Metric: Policy identifying when an arrest may be made exists (Target performance equals Yes).

2.4.1.2 Metric: Policy prohibiting arbitrary arrests exists (Target performance equals Yes).

2.4.2   Initiative: Policy mandates duty of law enforcement to protect detainees while in custody.

Standard 60 in Carty (2009) requires detainees be monitored (CALEA, Standards for Law Enforcement Agencies [note 40, p. 71-1 as cited in Carty, 2009]).

2.4.2.1 Metric: Policy identifying duty of law enforcement to protect detainees exists (Performance target equals Yes).

2.4.3   Initiative: Sworn personnel are trained in policy requiring protection of detainees

In cases where Policy requires action by line-personnel, line-personnel should be trained accordingly so that the policy is effective.

2.4.3.1 Metric: Total number of sworn personnel trained in mandate to protect detainees divided by Total number of sworn personnel (Target performance increasing to 100%).

2.4.4   Initiative: Sworn Officers are trained in arrest methodologies and procedures, resulting in the least amount of force to be used

A physical arrest represents government seizing citizens, and intuitively runs counter to representative governance unless absolutely necessary. Trained officers perform at a higher level of competency than untrained officers.

2.4.4.1 Metric: Total number of sworn personnel receiving training in arrest procedures divided by Total number of sworn personnel (Target performance equals 100%).

2.4.4.2 Metric: Total number of arrests resulting in sustained finding of excessive force divided by Total number of arrests (Target performance < 5%).

2.5   Search and Seizure (of persons and evidence) occurs consistent with law

Constraints on government search and seizure (of persons and private property) are a hallmark of free people. The United States adopted a Bill of Rights as amendments to the United States Constitution, ratified in 1791. Amendment 4 provides, "The right of the people to be

secure in their persons, houses, papers, and effects, against unreasonable searches and seizures, shall not be violated, and no Warrants shall issue, but upon probable cause, supported by Oath or affirmation, and particularly describing the place to be searched, and the persons or things to be seized" (U.S. Const. amend. IV). Article 17 of the United Nations Declaration of Human Rights (1948) provides:

"(1) Everyone has the right to own property alone as well as in association with others;

 (2) No one shall be arbitrarily deprived of his property."

Consistent with host country law, all law enforcement search and seizures must be appropriate.

2.5.1   Initiative: Police receive training in lawful search and seizure

Each country determines the limits of search and seizure in their territory. Law enforcement, to respect Rule of Law, must follow those legal mandates.

> *2.5.1.1 Metric: Total sworn personnel receive training in lawful search and seizure divided by Total number of sworn personnel (Target performance equals 100%).*

2.6   Standard: Investigations are predicated on criminal violations

Law enforcement serves the public, not political leaders. Investigations of citizens must be properly predicated on suspicion of criminal violations (Carty, 2009, Standard 43; Council of Europe, 2001; Council of Europe, 1979).

2.6.1   Initiative: Policy mandates police investigation will only be conducted for reasonable suspicion of criminal violation and specifically forbidding investigations for personal or political advantage

A policy mandating investigation be predicated on suspicion of criminal violation is required to achieve Standard 2.5.

2.6.1.1 Metric: Policy mandating investigations only upon criminal predicate exists (Target performance equals Yes).

2.7   Standard: Police interviews are conducted appropriately

Interviews by law enforcement must be professional, and fall within international Standards (Council of Europe, 2001; United Nations, 1948; Carty, 2009, Standards 45 and 46).

2.7.1.   Initiative: Policy defines how interviews will be conducted

Standard 57 of Carty (2009) describes that guidelines should exist for police interviews.

2.7.1.1 Metric: Policy defining how police interviews will be conducted exists (Target performance equals Yes).

2.7.2   Initiative: Policy specifically forbids torture, physical violence, or threat of torture or physical violence, during police interviews

Carty (2009) addresses prohibitions against torture or threat of violence in police interviews in Standard 45 (Council of Europe, 2002).

2.7.2.1 Metric: Policy prohibiting torture and violence, or threats of torture and violence, exists (Target performance equals Yes).

2.7.3   Initiative: Policy identifies maximum time limit of police interviews consistent with law

Standard 57 in Carty (2009) identifies length of interview as one component to which rules should apply.

2.7.3.1 Metric: Policy identifying maximum time limit of police interviews exists (Target performance equals Yes).

2.7.4   Initiative: Policy specifies how police interviews are documented (video recording, audio recording and/or written statements and reports)

Carty (2009) provides Standard 46 requiring records of police interviews be maintained. Additionally, a written Policy identifying how an interview is documented brings consistency in performance. This helps to ensure that all portions of the population are treated equally (preventing some members of the population from subjection to video recordings of interviews while other members are not video recorded). Discrimination often lurks in inconsistent practices.

2.7.4.1 Metric: Policy on how police interviews are documented exists (Target performance equals Yes).

2.7.5   Initiative: Law enforcement personnel are trained in interview techniques to their level of function

Standard 59 in Carty (2009) identifies suspect interviews as a specialized task requiring training (Council of Europe, 2002).

2.7.5.1 Metric: Total number of sworn personnel receiving training in basic interview techniques divided by Total number of sworn personnel (Target performance increasing to 100%).

2.7.5.2 Metric: Total number of sworn investigators receiving training in advanced interview techniques divided by Total number of sworn investigators (Target performance increasing to 100%).

2.8   Standard: Intelligence information is appropriate

Criminal Intelligence is fundamental in police operations, but there is always a probability for abuse (Carter, 1990; Executive Order 12291, 1993). Intelligence must be limited by content, storage, and distribution.

2.8.1   Initiative: Policy identifies processes for reporting, collecting, investigating, disseminating and storage/retention of intelligence information

As indicated by Carter (1990) and Executive Order 12291 (1993) there are limits to reporting, collecting, investigating, storing, and disseminating intelligence.

2.8.1.1 Metric: Policy detailing the process of reporting, collecting, investigating, disseminating, and storing Intelligence information exists (Target performance equals Yes).

2.8.2   Initiative: Intelligence is reported on a standard Intelligence Report form

Use of a standard Intelligence Report form ensures all applicable information and subsequent actions are captured.

2.8.2.1 Metric: An Intelligence Report form exists (Target performance equals Yes).

2.8.3   Initiative: Policy limits dissemination of intelligence based upon right-to-know and need-to-know

Executive Order 12291 (1993) provides, "Each project must establish written definitions for the need to know and right to know standards for dissemination… The project is responsible for establishing the existence of an inquirer's need to know and right to know the information" (p. 3).

2.8.3.1 Metric: Policy limiting dissemination of intelligence exists (Target performance equals Yes).

2.8.4   Initiative: Policy requires investigation and analysis of Intelligence by Source (reliable, unreliable, or reliability unknown) and Content (true, false, or unknown)

For Intelligence to be used effectively, a determination of Source Reliability and Content veracity needs be made (Carter, 1990, page 97). This determines if the information is actionable.

2.8.4.1 Metric: Policy requiring investigation and analysis of Intelligence information exists (Performance target equals Yes).

2.9   Standard: Personnel operate within a defined Code of Conduct

A codified Code of Conduct for Law Enforcement helps address issues of corruption and enhances public confidence in the police (United Nations, 1979; Carty, 2009, Standard 20).

2.9.1   Initiative: There is a published Code of Conduct for personnel

As noted by the United Nations (1979) and Carty (2009) there needs to be a codified Code of Conduct. The Code of Conduct sets organizational expectations of personnel performance.

> *2.9.1.1 Metric: Code of Conduct exists (Target performance equals Yes).*
>
> *2.9.1.2 Metric: Personnel are provided with a copy of the Code of Conduct in their native language (Target performance equals Yes).*

2.9.2   Initiative: Personnel receive training on the Code of Conduct

To help ensure compliance with the Code of Conduct, personnel should receive training in the expectation of their performance in this regard.

> *2.9.2.1 Metric: Total number of sworn personnel receiving training in Code of Conduct divided by Total number of sworn personnel (Target performance increasing to 100%).*

2.9.3   Initiative: Policy provides Code of Conduct is a Public Record

To maximize confidence in the police, the Code of Conduct should be a matter of public record. Carty (2009) addresses this in his Standard 98, "Public information reports include…other public oversight Reports. They allow for public evaluation of police performance by assessing the level of divergence of policing results and actions from laws and written policies" (p. 22).

2.9.3.1 Metric: Policy defines Code of Conduct as Public Record (Target performance equals Yes).

2.10 Standard: Corruption is not tolerated

In Iraq and Afghanistan, communities struggled to develop trust of law enforcement based on the level of perceived corruption among the agencies (Bayley and Perito, 2011; Council of Europe, 2001). Carty (2009) addresses corruption in Standard 24: Police … "must never take advantage of their position for their private interest…" (p. 14), and Standard 26: "…police officers shall not commit, but rather oppose any act of corruption…" (p. 14). United Nations (1979) Code of Conduct for Law Enforcement Officials Article 7 specifies, "Law enforcement officials shall not commit any act of corruption. They shall also rigorously oppose and combat all such acts". The Council of Europe (1979) Declaration on Police similarly provides that "A police officer shall act with integrity, impartiality, and dignity. In particular, the officer shall refrain from and vigorously oppose all acts of corruption". The Council of Europe (2001) Code of Police Ethics provides that "Police personnel shall oppose all forms of corruption within the police" (Section V, A. 46, p. 5).

2.10.1 Initiative: Sworn personnel receive training on corruption (impact of corruption, requirement to report corruption, identifying corruption)

Personnel should be aware of the expectations they work under, and this would include awareness of corruption issues and personnel's obligations related thereto.

2.10.1.1 Metric: Total number of sworn personnel receiving training on corruption divided by Total number of sworn personnel (Target performance increasing to 100%).

2.10.2 Initiative: Policy defines, and prohibits, acts of corruption

To ensure common understanding of corrupt activities, Policy should define, and specifically prohibit, corruption. Carty (2009) Standard 28 requires "the application of anti-corruption policies and codes of conduct for the correct, honorable and proper performance of police officers" (p. 14).

2.10.2.1 Metric: Policy defining and prohibiting corruption exists (Target performance equals Yes).

2.10.3 Initiative: Policy requires personnel report any suspected acts of corruption done by anyone in the organization

Carty (2009) provides Standard 31 as a requirement for officers to report acts of corruption (p. 15). The Council of Europe (2001) provides officers shall "inform superiors and other appropriate bodies of corruption within the police" (Section V, A. 46, p. 5).

2.10.3.1 Metric: Policy requiring corruption be reported exists (Target performance equals Yes).

2.10.4 Initiative: Policy provides internal and external methods of reporting suspected acts of corruption by their personnel

Carty (2009) provides Standard 31, "…oblige their officers to report to the appropriate authority acts or omissions" of corruption (p. 15) and agencies should provide mechanisms for reporting corruption (Council of Europe, 2001; United Nations, 2003).

2.10.4.1 Metric: Policy establishing internal and external corruption reporting methods exists (Target performance equals Yes).

2.10.5 Initiative: Policy prohibits retaliation for reporting acts of corruption

Carty (2009) addresses this in Standard 32, "Police…must…provide protection from potential retaliation or intimidation for witnesses and experts who testify to acts of corruption" (p. 15). The issue is addressed by the Council of Europe (1999) in Article 21of the Criminal Law Convention on Corruption and the United Nations (2003) Article 32 of the Convention Against Corruption. Carty (2009) also provides Standard 142, prohibiting sanctions against officers who report acts of corruption (United Nations, 1979).

2.10.5.1 Metric: Policy prohibiting retaliation against persons reporting acts of corruption exists (Target performance equals Yes).

2.10.6 Initiative: Policy defines a process by which all reported corruption is investigated and requires all reports be classified as Sustained, Exonerated or Unfounded

Standard 87, Carty (2009), identifies value in internal investigations.

2.10.6.1 Metric: Policy providing process for reporting corruption exists (Target performance equals Yes).

2.10.7 Initiative: Results of corruption investigations are reviewed internally by Command Staff elements, in the appropriate Chain of Command, who must either agree with the findings or refer the investigation back for further investigation

Carty (2009) speaks to the use of civilian oversight boards in Standards 83, 84, 85, 86, 87, 88, and 94. However, Standard 2.2 (Initiative 2.2.1) desires to hold supervisors and managers

accountable for the actions of subordinates. By demanding Command Staff (within the relevant Chain of Command) to review Corruption investigations, the future supervisor or manager defense "I didn't know" is removed from the equation. Though civilian oversight can be used (and is seen here as Industry Best Practice), those efforts should supplant the mandated internal review by Command Staff Chain of Command involved.

> ***2.10.7.1 Metric: Total number of Corruption investigations accepted by Command Staff divided by Total number of Corruption investigations (Target performance increasing to 100%).***

2.10.8 Initiative: In cases where Command Staff concludes a report of corruption is Sustained, appropriate disciplinary action is taken

In all cases of investigations where allegations are sustained, some level of disciplinary action must be taken. This can include a wide spectrum of actions from retraining through termination and criminal prosecution (depending on the severity).

> ***2.10.8.1 Metric: Total number of Sustained Corruption investigations where disciplinary action was taken divided by Total number of Sustained Corruption investigations (Target performance increasing to 100%)***

2.10.9 Initiative: Results of corruption investigations are reviewed by prosecutorial authorities for potential criminal charges

Standard 84 in Carty (2009) speaks to police oversight, in part, by the judiciary (Council of Europe, 2001). All reports of Corruption should be reviewed by prosecutorial authorities (regardless of whether the determination is Sustained, Exonerated or Unfounded). This provides confidence to the public that an impartial determination has been made.

2.10.9.1 Metric: Total number of Corruption investigations reviewed by prosecutors divided by Total number of Corruption investigations (Target performance increasing to 100%)

2.10.10 Initiative: Public surveys are conducted seeking information on unreported, or uninvestigated, acts of corruption

Carty (2009) notes in Standard 33, "…public reporting on the adequacy, application and effectiveness of the anti-corruption system" is required (Council of Europe, 1997). Standard 103 in Carty (2009) identifies the need for public surveys. The intent is two-fold: Identify unreported or uninvestigated allegations; and measure public confidence that police are not corrupt. It could be argued that conducting surveys is more Industry Best Practice than a minimal Standard. However, in countries emerging from conflict and transitioning to representative government, it becomes an important mechanism for encouraging citizen involvement in government (and an effective way to measure police performance).

2.10.10.1 Metric: Quarterly public surveys are conducted seeking information on unreported or uninvestigated acts of Corruption (Target performance equals Yes).

2.10.10.2 Metric: Number of unreported and uninvestigated Corruption allegations from Citizen Survey results (Target performance decreasing to 0).

2.10.11 Initiative: Yearly, law enforcement publishes a public report detailing reported corruption during the previous year (including number of reports received; number Sustained, Exonerated, and Unfounded; Disciplinary actions taken; criminal referrals; and results from public surveys conducted)

Standard 98 of Carty (2009) identifies police corruption cases as being included in the list of reports considered public record. Standard 33 in Carty (2009) specifies "public reporting on the adequacy, application and effectiveness of the anti-corruption system" (Council of Europe, 1997).

2.10.11.1 Metric: Public report on Corruption is published yearly (Target performance equals Yes).

2.10.12 Initiative: Results of Corruption investigations are reviewed by Training Staff and future Training is adopted or modified accordingly

Standard 146 of Carty (2009) addresses the need for training to be focused on case studies and real-life experiences. A review of Corruption investigative files by Training Staff helps identify trend lines that need to be addressed in future training, and examples that can be infused into current training agendas.

2.10.12.1 Metric: Total number of Corruption reports reviewed by Training Staff divided by Total number of Corruption Reports (Target performance increasing to 100%).

3.   Outcome: Law enforcement is professional

Law enforcement serves and protects the community. Article 1 of the Code of Conduct for Law Enforcement Officials (United Nations, 1979) provides law enforcement must act "...consistent with the high degree of responsibility required by their profession". Carty (2009) notes, "In order to live up to the public's trust, the police must demonstrate professionalism…" (p. 14).

3.1   Standard: Personnel are empowered

Law enforcement agencies should be agile and capable of responding to threats and opportunities. A cornerstone of Community Policing is that personnel are properly empowered by supervisors to resolve community issues in partnership with the community (Carty, 2009, Standard 107). Also included in Standard 107 of Carty (2009) is that supervisors should empower officers to solve local issues in partnership with the community. Birzer (2003) notes, "Community-policing differs from traditional law enforcement because it allows officers the freedom to expand the scope of their jobs" (p.30). Police must be able to exercise discretion and make decisions at the lowest possible level. Standard 119 (Carty, 2009) identifies the role of supervisors in promoting empowerment and development of individuals. Standard 115 of Carty (2009) provides that senior police officials need be given responsibility to make operational decisions.

3.1.1 Initiative: Policy empowers personnel

Standard 117 from Carty (2009) correctly associates decentralized decision making as a critical component of Community Policing. This is also found at Standard 107.

3.1.1.1 Metric: Policy allowing police discretion and making of decisions at the lowest possible level exists (Target performance equals Yes).

3.2 Standard: Law enforcement conduct is governed by codified Policy

Policy identifies general organizational goals and values, while Procedures set out how those goals and values are attained. Policy and Procedure informs the workforce of the performance expectations and sets general parameters of how they are to accomplish their task. Carty (2009) notes in Standard 11, "These policies and guidelines should define the functional roles of the police, and the agencies' values, missions, goals and priorities. They should also provide for clear rules, regulations and best practices for the execution of specific police tasks. Furthermore, they should cover the legal regulation of police power as well as precise definitions of criminal offences. Making these policies and regulations available to the public permits police performance to be measured" (Council of Europe, 2001).

3.2.1 Initiative: There is a codified Policy and Procedure manual

As noted in Standard 11 of Carty, there is need for Policy. Policy is effective only if it is codified.

3.2.1.1 Metric: Policy and Procedure manual exists (Target performance equals Yes).

3.2.2   Initiative: The Policy and Procedure manual is provided to all personnel in their native language

For policy to be effective, the workforce must be aware of it. Towards that end, Policy should be provided to all personnel in their native language. Employees violate Policy for one of three reasons: They were unaware of the Policy; they disagree with, or don't value, the Policy; they are not resourced to the level required to adhere to the Policy.

3.2.2.1 Metric: Total number of personnel provided Policy and Procedure manual divided by Total number of personnel (Target performance increasing to 100%).

3.2.3   Initiative: The Policy and Procedure manual is considered public record

Representative governance is open and transparent. Considering the Policy and Procedure manual a public record ensures police operations and citizen expectations are aligned. Standard 95 of Carty (2009) proclaims, "A prerequisite for gaining public support is providing for transparency of police operations and cultivating communication and mutual understanding between the public and the police" (Council of Europe, 2001). Standard 98 in Carty (2009) asserts that public records provide for "…public evaluation of police performance by assessing the level of divergence of policing results and actions from laws and written policies" (United Nations, 1996; Bayley, 2001).

3.2.3.1 Metric: The Policy and Procedure manual explicitly proclaims it is public record (Target performance equals Yes).

3.2.4 Initiative: Policy mandates personnel be honest in all official acts (including statements made under oath) and in all reports

The entire criminal justice system assumes that information provided by law enforcement is truthful. Intentionally falsifying information by law enforcement personnel undermines the entire process and should be banned by Policy. Standard 21 in Carty (2009) requires honesty in performance of official acts, while Standard 30 requires justice be delivered to those police who are corrupt or dishonest.

3.2.4.1 Metric: Policy mandates honesty (Target performance equals Yes).

3.2.5 Initiative: Personnel receive training in Policy mandating personnel be honest in all official acts

As noted previously, to be an effective Policy, personnel should be appropriately trained.

3.2.5.1 Metric: Total number of personnel trained in Policy divided by Total number of personnel (Target performance increasing to 100%).

3.2.6 Initiative: Administrators are trained in developing Policy and Procedure

Poorly written Policy requires a plethora of cumbersome Procedures, and often creates unintended consequences. Well written Policy requires fewer Procedures, helps prevent unintended consequences, and empowers the workforce. This could be construed as more Industry Best Practice than an essential Standard. However, autocratic governance relies on complex and cumbersome Policy to achieve authoritarian control. As most countries targeted by International Police Missions are emerging from autocratic regimes, the previously accepted doctrine related to Policy development must be overcome.

3.2.6.1 Metric: Total number of Administrators trained in developing Policy divided by Total number of Administrators (Target performance increasing to 100%).

3.3   Standard: Crime is reported on standardized forms

Law Enforcement must document reports of criminal activity both for prosecutorial and analytical purposes. Use of standardized forms ensures all pertinent information is captured in a format useful to all parties (law enforcement, prosecutors, and the public).

3.3.1   Initiative: Policy requires all reported crime be on standardized forms identifying date, time, location, crime, victim, witness, and suspect information with a unique identifying case number

Police need to be effective. Effectiveness in law enforcement requires that all pertinent information regarding crime is captured. Use of Standard Crime Reports ensures all relevant information regarding the event is captured.

3.3.1.1 Metric: Policy requiring use of Standard Crime Report and unique identifying case numbers exists (Target Performance equals Yes).

3.3.2   Initiative: All crime reports are classified by crime type and summaries of reported crime are tracked by crime type

Standard 123 in Carty (2009) refers to the analysis of crime reports. Classification of crimes, and tracking crime categories, is essential in maintaining agency credibility (CALEA, Standards for Law Enforcement Agencies, p. 1-7 as cited in Carty, 2009).

3.3.2.1 Metric: Periodic crime summaries are published (Target performance equals Yes).

3.3.2.3 Metric: Crime summaries published compare current crime to past historical crime rates (Target performance equals Yes).

3.3.3 Initiative: Policy requires crime reports to be public record (with redactions or removal by exception within the confines of law)

Representative Governance is open and transparent. Considering crime reports as a public record ensures police operations and citizen expectations are aligned. Standard 95 of Carty (2009) proclaims, "A prerequisite for gaining public support is providing for transparency of police operations and cultivating communication and mutual understanding between the public and the police" (Council of Europe, 2001). Standard 98 in Carty (2009) asserts that public records provide for "…public evaluation of police performance by assessing the level of divergence of policing results and actions from laws and written policies" (United Nations, 1996; Bayley, 2001). Standard 97 in Carty (2009) does provide that some information may need to be restricted from public display.

3.3.3.1 Metric: Policy specifying crime reports as public record exists (Target performance equals Yes).

3.4 Standard: Police Reports are complete and thorough

For Police Reports to be effective they must capture all relevant and accurate information (for classification, investigative, and prosecutorial purposes).

3.4.1   Initiative: Sworn personnel receive training in report writing

Learning how to capture information in a written, concise, manner requires that personnel be trained to performance standards. Yu & Monas (2020) express concern that report writing, a high-stake endeavor, is given little attention in policy centered academies.

> *3.4.1.1 Metric: Total number of sworn personnel receiving training in report writing divided by Total number of sworn personnel (Target performance equals 100%).*

3.4.2   Initiative: Policy requires supervisory review of police reports prior to submission to Records Division

Supervisors serve as the base-line Quality Control managers of the organization. Ensuring that reports meet suitable standards of thoroughness prior to submission will identify unreported Human Rights violations and Use of Force violations. Such review will also keep the supervisor abreast of crime trends and notify them of any policy violations.

> *3.4.2.1 Metric: Policy requiring supervisory approval of authored police reports prior to submission to Records Division exists (Target performance equals Yes).*

3.5   Standard: Law enforcement is a career

Though often thought of as paramilitary force, law enforcement is much different than military service. Law enforcement should be professional (Council of Europe, 2001). Standard 134 in Carty (2009) identifies officer retention as an agency goal (Council of Europe, 1979). To be professional, law enforcement must be a career rather than a role controlled by a contracted period timeframe. An agency benefits by retaining trained, qualified, personnel. Countries emerging from conflict tend to gravitate towards using police as an extension of the military. Clear distinctions between the military and police must be drawn. The military normally deals

with external threats, while police contend with internal threats. The military serves the government, while police serve the community. The military relies on soldiers following orders, while police rely on officers being empowered to solve community problems. Law enforcement benefits from the experienced officer's familiarity with community problems and the local population.

3.5.1   Initiative: Law enforcement employment is not a contractual position, but for an indefinite time-period

Some agencies have contractual service periods such as 3 years or 5 years. In turn, this requires an agency to retrain an entire workforce within a 3- or 5-year period and represents a retention rate of 66%-75% annually. A retention rate of 90% annually provides a more stable workforce built on personnel with both knowledge and experience and decreases training costs significantly. While this could be considered an Industry Best Practice, the reality noted in Mason (2015) is that building a vibrant economic and political system could take over 70 years. Using personnel on a contractual basis is not sustainable in countries emerging from conflict as it consumes precious resources (constant training of new personnel).

> *3.5.1.1 Metric: Total number of personnel employed at the end of the current year divided by Total number of personnel employed during the year (Target performance =>90%).*

3.6   Standard: Law enforcement recruiting-hiring practices are non-discriminatory

Police personnel should reflect the society they serve (Council of Europe, 2011). Standard 127 in Carty (2009) expresses the need to have minority populations represented within the ranks of law enforcement (Council of Europe, 2001; Rotterdam Charter, 1996; HCNM,

2006). Carty (2009) also provides Standards 128 (recruiting free from unlawful discrimination), and Standard 129 (recruitment policies ensure adequate inclusion of women and minorities).

3.6.1 Initiative: Policy mandates, apart from lateral transfers, all sworn employees start their career at the bottom of the organization

This Initiative will, without doubt, result in argument. Most military services allow for members to come from higher educational institutions (Officer Candidate type schools) - hence military leaders frequently have never served at the bottom of the organization. Business, also do not necessarily require employees to begin at the bottom of the organization. Law enforcement is slightly different though. The purpose of Standard 3.4 is to make law enforcement a career. This assumes that there is value added by experience. Experience in problem solving, resolving social conflicts, partnering with the community. If management personnel start their career in management, then they lack the real-life experience that was anticipated in Standard 3.4. Though this could be viewed by some as more of an Industry Best Practice, consider that the effort herein a creating, or recreating, a police force in a post conflict nation. Corruption and nepotism flourish in this environment. Leadership and promotion should be based on performance, not social status. Combating nepotism and corruption is enhanced by requiring all persons enter service at the lowest rank.

3.6.1.1 Metric: Policy establishes entry level position for all sworn personnel exists (Target performance equals Yes).

3.6.2 Initiative: Recruitment is not discriminatory

Carty (2009) Standard 130 provides that special recruitment activities should be considered, when needed, to increase representation by minorities and women (HCNM, 2006; European Platform for Policing and Human Rights (EPPHR), The Recruitment and Retention of

Police Officers from Minority Communities: Points to Consider, 2004 as cited in Carty, 2009; High Commissioner on National Minorities, 2006).

> ***3.6.2.1 Metric: Policy mandating non-discriminatory recruiting and hiring practices exist (Target performance equals Yes).***

3.6.3   Initiative: Agency personnel closely represents the community by race, gender, religion, and ethnicity

Carty (2009) Standard 130 suggests that statistical targets should be set with women and minorities represented in policing. There are positive and negative aspects to Affirmative Action programs, and statistical hiring targets may not serve the police agency well. However, the more important focus is not how minority representation is achieved, rather that it is achieved.

> ***3.6.3.1 Metric: Analysis of personnel demographics exists (Target performance equals Yes).***
>
> ***3.6.3.2 Metric: Total number of personnel within each minority status divided by Total number of personnel (Target performance - none - used to calculate Metric 3.5.3.2).***
>
> ***3.6.3.3 Metric: Comparison of Metric 3.5.3.2 return to population represented as a percentage (Target performance - none - subject to interpretation of the parties involved).***

3.6.4   Initiative: Policy mandates a fair and objective process for promotion

Standard 131 in Carty (2009) provides the promotion process should be transparent and based upon skills and knowledge. This is echoed in Initiative 3.5.1.

3.6.4.1 Metric: Policy establishing promotion process exists (Target performance equals Yes).

3.6.4.2 Metric: Promotion policy includes consideration of education, time of service, past evaluations, and testing results (Target performance equals Yes).

3.7 Standard: Employee performance is measured

Standard 120 in Carty (2009) notes, "Police agencies must have supervision in place to assess the performance of their police officers. Democratic policing requires ongoing quality control of the service delivered to the public" (p. 25).

3.7.1 Initiative: Policy mandates objective employee evaluation once per year

It could be suggested that this is merely Industry Best Practice. To some degree that would be a fair assessment. However, Standard 120 in Carty (2009) recognizes the need for supervisory review of personnel performance, and the best way to ensure this happens is by a Policy requirement that it be done yearly.

3.7.1.1 Metric: Policy mandating annual objective employee evaluation exists (Target performance equals Yes).

3.7.1.2 Metric: Total number of employee evaluations performed in a year divided by Total number of personnel employed during the year (Target performance increasing to 100%).

3.8 Standard: Law enforcement personnel are appropriately incentivized

A properly motivated workforce experiences less turnover and internal conflict. Maslow's Hierarchy of Needs would indicate that employees need to feel safe, have economic security, be part of viable teams and are properly empowered (Maslow, 1943).

3.8.1 Initiative: Policy establishes a disciplinary code for both positive and negative actions and omissions

Standard 28 in Carty (2009) discusses the efficacy of the disciplinary system. Discipline can be positive or negative. Rewarding good performance should be used with the same zeal as negative sanctions for poor performance.

3.8.1.1 Metric: Policy establishing positive and negative discipline exists (Target performance equals Yes).

3.8.2 Initiative: The disciplinary Policy is enforced

To be effective, the disciplinary Policy must be enforced.

3.8.2.1 Metric: Total number of sustained disciplinary investigations divided by Total number of disciplinary sanctions issued (Target performance increasing to 100%).

3.8.2.2 Metric: Total number of awards issued divided by Total number of personnel (Target performance - none - subject to interpretation of the parties involved).

3.9 Standard: The Value of Teamwork is embraced

Promoting teamwork is essential in both Representative Policing and Community Policing models. Some view teamwork as a component of fulfilling Maslow's Hierarchy of Needs (Maslow, 1943). Dave Annis (Annis, 2022) links Maslow's defined need of Love and Belonging to engaged Teams: "At the middle of Maslow's Hierarchy is the need for belonging and connection… Engaged employees will feel fulfilled, respected, and nurtured – and businesses will excel with engaged and committed teams."

3.9.1   Initiative: Personnel receive training in Teamwork and Teambuilding

Building effective teams requires special attention and training. Required are shared values and visions, effective communications, and commitment.

> *3.9.1.1 Metric: Personnel receive training in Teamwork and Teambuilding (Target performance increasing to 100%).*

3.10   Standard: Physical evidence is appropriately handled

For law enforcement to be professional and effective, physical evidence must be properly identified, collected, tested, and stored for later presentation to competent courts of law. Authoritarian governments impose overly restrictive mandates, and trials often have little evidence to support convictions. In Representative Policing, a more scientific approach to case presentation is utilized, and physical evidence that is properly collected, tested, and stored is required.

3.10.1 Initiative: Evidence is stored in a staffed, secure, area

Prosecution of offenders requires evidence, and for evidence to have meaning in trial, it must have been professionally collected, analyzed, and stored. This requires a staffed and secure area to store evidence, ensuring Chain of Custody is maintained.

> *3.10.1.1 Metric: A staffed, and secure, evidence storage area exists (Target performance equals Yes).*

3.10.2 Initiative: Policy details process for the collection of physical or other evidence at crime scenes

Different types of evidence are collected in different manners to preserve integrity. Policy should specify what constitutes physical evidence, the importance of physical evidence, how to collect the various types of evidence, and how to document the seizure.

3.10.2.1 Metric: Policy detailing process for evidence collection exists (Target performance equals Yes).

3.10.2.2 Metric: Policy mandates chain of custody be observed (Target performance equals Yes).

3.10.3 Initiative: Policy outlines requirements and processes for the disposal and or destruction of evidence consistent with law

Evidence may include money, drugs, jewelry, or other items of value. Evidence should be disposed of (or destroyed) consistent with provisions of law to avoid the perception of corrupt activities and ensure property rights of citizens. Property of citizens must be protected by due process, otherwise there is an open invitation to corrupt acts of property seizure and redistribution.

3.10.3.1 Metric: Policy prohibiting destruction of evidence other than by means consistent with law exits (Target performance equals Yes).

3.10.4 Initiative: Law enforcement agencies have source for forensic testing, by qualified personnel, of evidence including: comparison or analysis of fingerprint; DNA; tool marks; firearms and ballistics; hair; fiber; blood; and teeth

Meeting the mandate of public service requires that effective prosecution of offenders occurs. Towards that end, law enforcement must have some capacity (internal or external) to conduct forensic analysis of physical evidence collected.

3.10.4.1 Metric: Source for forensic testing exists (Target performance equals Yes).

3.11 Standard: Reports and records are handled appropriately

For law enforcement to be professional, transparent, and effective, official police reports (crime reports, operational reports, and administrative reports) must be properly written, cataloged, stored, and disseminated. Additionally, clear, and precise rules must exist for editing previously submitted reports (Carty, 2009, Standard 95; Carty, 2009, Standard 98).

3.11.1 Initiative: Law enforcement agencies have a Records Division

A central report depository ensures rapid access to needed information, as well as ensuring uniform treatment of documents.

3.11.1.1 Metric: A Records Division, responsible for storage of reports and documents, exists (Target performance equals Yes).

3.11.2 Initiative: Policy mandates protocol for submission of reports and documents to Records Division

For a Records Division to be an effective tool of law enforcement, precise protocols should be designed defining how to submit reports and documents to the Division.

3.11.2.1 Metric: Policy establishing submission to Records Division exists (Target performance equals Yes).

3.11.3 Initiative: Policy identifies process to receive, log, catalog, store and disseminate reports and documents

Clear and concise rules for document storage and dissemination ensure access to and the integrity of official documents.

3.11.3.1 Metric: Policy identifying process for receiving, logging, cataloging, storing, and disseminating reports and documents exists (Target performance equals Yes).

3.11.4 Initiative: Policy details the process to modify reports or documents previously submitted to Records Division

There are, without doubt, times when official documents might require amendment. However, uncontrolled or undocumented edits to official reports invites nefarious activities. Ensuring the integrity of official documents requires clear rules, promoting transparency, for amending documents.

3.11.4.1 Metric: Policy for modifying reports exists (Target performance equals Yes).

3.12 Standard: Traffic regulations are enforced

To ensure a sense of stability and safety, police should actively enforce traffic regulations.

3.12.1 Initiative: Traffic enforcement activities are conducted

A lack of traffic enforcement is detrimental to the Rule of Law, and projects a state of confusion and a lack of societal organization. Lack of traffic enforcement results in an increased rate of traffic accidents.

3.12.1.1 Metric: Total number of traffic stops conducted (Performance target equals none, used in scatter chart comparing enforcement rate to accident rate).

3.12.2 Initiative: Traffic accidents are reported and investigated

Traffic accidents represent a threat to the safety of citizens and are usually caused by traffic violations. Traffic accidents should be investigated to identify causal factors and document the event.

3.12.2.1 Metric: Total number of traffic accidents reported (Target performance - none - used in calculations for Metric 3.12.2.3).

3.12.2.2 Metric: Total number of traffic accidents investigated (Target performance - none - used in calculations for Metric 3.12.2.3).

3.12.2.3 Metric: Total number of accidents reported (Metric 3.12.2.1) divided by Total number of accidents investigated (Metric 3.12.2.2) (Target performance 100%).

3.12.3 Initiative: Traffic accident trends are analyzed and reacted to

There should be a correlation between occurrences of traffic accidents and targeted enforcement activities. Increased enforcement initiatives result in lower accident rates.

3.12.3.1 Metric: Periodic analysis of accident trends exist (Target performance equals Yes).

3.12.3.2 Metric: Total number of accident prevention initiatives conducted (Target performance - none - scatter chart with Metric 3.12.3.1 to document the effectiveness of accident prevention initiatives).

3.13   Standard: Crime reports are investigated

To further the prosecutorial process, reports of criminal violations should be investigated and acted upon to establish whether a crime occurred and the identity of any suspects to be referred for prosecution. Standard 43 in Carty (2009) notes, "Public information that serves to initiate police investigations must be evaluated and acted upon in an unbiased and effective manner" (p. 16). Smaller agencies may only have a few investigators, all of whom investigate all crimes reported. Large agencies may create sub-groups of investigators and allow them to specialize in particular fields (e.g., homicide, crime against property, sex crimes, narcotics).

3.13.1 Initiative: Law enforcement agencies have an Investigations Division

There are several judicial structure methods utilized throughout the world. In some countries the investigative function is delegated to the Judicial branch. To the extent it is consistent with the other Rule of Law components, agencies need an investigative branch designated to further investigate reports of crime. This ensures some sense of justice among the public.

3.13.1.1 Metric: Investigations Division exists (Target performance equals Yes).

3.13.2 Initiative: Crime reports are investigated

In some cases, on-scene investigation may result in an arrest of offender(s). In other cases, arrests will be predicated on the follow-up investigation.

3.13.2.1 Metric: Total number of crime reports assigned for investigation divided by Total number of crime reports (Target performance equals increasing to 100%).

3.13.3 Initiative: Law enforcement agencies maintain a log of all cases referred to the Investigations Division (date, crime, victim, Investigator assigned, and case status)

Agencies need to be transparent about investigative activities to ensure citizen satisfaction. Towards that end, a case management system should be utilized ensuring proper management of the investigative process. This can be as simple as a case log (for smaller agencies) or computerized software (for larger agencies).

3.13.3.1 Metric: Case log or management system exists (Target performance equals Yes).

3.13.4 Initiative: Referrals to prosecutorial authorities are made

The goal of investigations is to uncover truths. However, judicial systems are created to ensure justice, and towards that end police investigations should be referred to prosecutorial authorities for review and prosecution. The clearance rate of police investigations will always vary but should be above 50% most times.

3.13.4.1 Metric: Total number of cases referred to prosecutor divided by Total number of crimes investigated (Target performance greater than 50%)

3.14   Standard: Support elements exist

Carty (2009) notes in Standard 144 that law enforcement should be afforded access to the equipment necessary to accomplish the policing function. This is insufficient. While a Quartermaster function is required, so too are other support elements (i.e., Communications, Information Technology (IT), Human Resource, Finance, Records, Training, Recruiting). Some of these functions might be external to the organization (i.e., Human Resources and Finance), in which case they would not apply to this model.

3.14.1 Initiative: Law enforcement agencies have a Support Division

To the extent required internally (i.e., support activities are not external to the organization), a Support Division is identified to manage support activities within the agency.

3.14.1.1 Metric: Support Division exists (Target performance equals Yes).

3.14.2 Initiative: Law enforcement agencies have a Policy identifying the subunits, and their function (e.g., Facility Management, Dispatch, Quarter Master, Recruiting, Training, Vehicle Maintenance, Armory)

To the extent required internally (i.e., support activities not external to the organization), Policy should identify the subunits and functions of each subunit.

3.14.2.1 Metric: Subunits of Support Division exist (Target performance equals Yes).

3.14.2.2 Metric: Policy defining role of subunits exists (Target performance equals Yes).

3.15   Standard: Management is strategic

Law enforcement must partner with the community in addressing community concerns (Carty, 2009; Council of Europe, 2001). To effectively address community concerns, law enforcement at all levels should be empowered properly to apply problem solving techniques. More important, though, is that management is strategic (Strategic Thinking and Strategic Planning). This ensures effective resolution of public concerns.

3.15.1 Initiative: Administrators are trained in Strategic Management and Strategic Thinking

Strategic Management and Strategic Thinking are skill sets that require training to develop competency. Training administrators in this process provides them with the tools that ensure proper implementation of Strategic Management and Strategic Thinking.

3.15.1.1 Metric: Total number of administrators receiving training in Strategic Management and Strategic Thinking divided by Total number of administrators (Target performance equals 100%).

3.15.2 Initiative: A Strategic Plan identifies agency Goals, Objectives, Initiatives, Resource Requirements list, and Metrics

Representing and responding to community concerns and interests requires thoughtful deliberations. As well, continuous improvement functions are an important element ensuring citizen needs are at the forefront. Agencies should develop and implement a Strategic Plan consistent with the needs of the community being served.

3.15.2.1 Metric: Strategic Plan exists (Target performance equals Yes).

3.15.3 Initiative: Employees are provided a copy of the Strategic Plan

Strategic Plans guide agency goals, interests, and activities. The coach of a sports team will develop a game plan, but to implement the plan requires that the players know what the plan are (since they are responsible for carrying out the plan). So too must be employees be aware of, and focused on, the agency Strategic Plan.

3.15.3.1 Metric: Total number of personnel provided a copy of the Strategic Plan divided by Total number of personnel (Target performance equals 100%).

3.15.4 Initiative: Policy mandates periodic review of Strategic Plan

Strategic Plans must be living documents in order that the agency can respond efficiently and effectively to threats and opportunities. Leaders must continually review the plan and ensure it is current with citizens' needs and circumstances.

3.15.4.1 Metric: Policy mandating review of Strategic Plan exists (Target

performance equals Yes).

4.   Outcome: Law Enforcement is accountable and transparent

In representative governance, the public grants authority to law enforcement (Carty, 2009. Standard 80). This thought is echoed, as well, in Standard 95 of Carty (2009). To prevent overreach of authority, law enforcement operations should be open to examination by oversight institutions including executive, legislative, Judiciary and/or media, as well as the public at large (Carty, 2009, Standard 84; Council of Europe, 2001; HCNM, 2006).

4.1   Standard: Documents are Public Record

A cornerstone of democracy is government transparency. To the extent reasonable, all documents (crime reports, operational reports, and administrative reports) should be considered public records. Carty (2009), in Standard 95, calls for public dissemination of crime reports and police operations. Standard 98 (Carty, 2009) also addresses release of crime statistics, human rights records, corruption cases and other oversight reports, as being public record. In Standard 88, Carty (2009) identifies "transparent handling" of investigative results (in internal investigations) important in establishing public trust.

4.1.1   Initiative: Policy identifies yearly Corruption Summary report as public record (with redactions or removal by exception within confines of law)

Representative governance is open and transparent. Considering Corruption Summaries as a public record ensures police operations and citizen expectations are aligned. Standard 95 of Carty (2009) proclaims, "A prerequisite for gaining public support is providing for transparency of police operations and cultivating communication and mutual understanding between the public and the police" (Council of Europe, 2001). Standard 98 in Carty (2009) asserts that public

records provide for "…public evaluation of police performance by assessing the level of divergence of policing results and actions from laws and written policies" (United Nations, 1996; Bayley, 2001). Standard 97 in Carty (2009) does provide that some information may need to be restricted from public display.

> ***4.1.1.1 Metric: Policy mandating yearly Corruption Summary as public record exists (Target performance equals Yes).***

4.1.2   Initiative: Policy identifies yearly Human Rights Violations Summary report (required under Initiative 1.2.11) as a public record (with redactions or removal by exception within confines of law)

Representative Governance is open and transparent. Considering Human Rights Violation Summaries as a public record ensures police operations and citizen expectations are aligned. Standard 95 of Carty (2009) proclaims, "A prerequisite for gaining public support is providing for transparency of police operations and cultivating communication and mutual understanding between the public and the police" (Council of Europe, 2001). Standard 98 in Carty (2009) asserts that public records provide for "…public evaluation of police performance by assessing the level of divergence of policing results and actions from laws and written policies" (United Nations, 1996; Bayley, 2001). Standard 97 in Carty (2009) does provide that some information may need to be restricted from public display.

4.1.2.1 Metric: Policy mandating yearly Human Rights Violations Summary as public record exists (Target performance equals Yes).

4.1.3   Initiative: Policy identifies yearly Use of Force Summary report (required under Initiative 1.3.15) as public record (with redactions or removal by exception within confines of law)

Representative Governance is open and transparent. Considering Use of Force Summaries as a public record ensure police operations and citizen expectations are aligned. Standard 95 of Carty (2009) proclaims, "A prerequisite for gaining public support is providing for transparency of police operations and cultivating communication and mutual understanding between the public and the police" (Council of Europe, 2001). Standard 98 in Carty (2009) asserts that public records provide for "…public evaluation of police performance by assessing the level of divergence of policing results and actions from laws and written policies" (United Nations, 1996; Bayley, 2001). Standard 97 in Carty (2009) does provide that some information may need to be restricted from public display.

4.1.3.1 Metric: Policy mandating yearly Use of Force Summary as public record exists (Target performance equals Yes).

4.1.4   Initiative: Policy mandates all email, transcripts, operational reports, budgets, expenditures, and correspondence are considered public records (with redactions or removal by exception within the confines of law)

Representative Governance is open and transparent. Considering all email, transcripts, operational reports, budgets, expenditures, and correspondence as a public record ensures police operations and citizen expectations are aligned. Standard 95 of Carty (2009) proclaims, "A prerequisite for gaining public support is providing for transparency of police operations and

cultivating communication and mutual understanding between the public and the police"
(Council of Europe, 2001). Standard 98 in Carty (2009) asserts that public records provide for
"…public evaluation of police performance by assessing the level of divergence of policing
results and actions from laws and written policies" (United Nations, 1996; Bayley, 2001).
Standard 97 in Carty (2009) does provide that some information may need to be restricted from
public display.

> ***4.1.4.1 Metric: Policy mandates all email, transcripts, operational reports,
> budgets, expenditures, and correspondence are considered public record exists
> (Target performance equals Yes).***

4.1.5   Initiative: Policy mandates how members of the public and/or media may request public records of the agency

Commitment to transparency requires that items be readily and easily attainable by the
public. Ensuring, by policy and procedure, methods for securing these items prevent confusion
and delay (often leading to the appearance of non-transparency).

> ***4.1.5.1 Metric: Policy mandating process for obtaining public record exists
> (Target Performance equals Yes).***

4.1.6   Initiative: Policy establishes criteria and process for redactions or removal by exceptions to public records

It is given that not all information is appropriate for public dissemination. Personnel
actions are normally not subject to public review. Intelligence and information that would
compromise criminal investigations or prosecutions, normally must also remain outside of public
view. Clear, and well-intentioned Policy must set boundaries for redactions from public records

for corruption and tyranny lie in the shadows of redactions done only to serve an agency or

leader.

> ***4.1.6.1 Metric: Policy establishing criteria and process for redaction or removal***
>
> ***by exception to public records exists (Target performance equals Yes).***

4.1.7   **Initiative: All requests for public records release (date of request, identity of**
the person/organization making the request, the items requested, status of
the request and the date fulfilled) are logged

The test of an agency's commitment to transparency will lie in the number of requests

received, how long it takes to process that request, and the final status of the request. The lack of

requests does not infer that there is public trust, rather a lack of requests suggests the public does

not believe the agency is committed to transparency or is fearful of reprisals.

> ***4.1.7.1 Metric: Log of public records release requests exists (Target***
>
> ***performance equals Yes).***
>
> ***4.1.7.2 Metric: The number of public records release requests is relatively the***
>
> ***same, or increasing, year over year (Target performance steadily increases each***
>
> ***year).***

4.1.8   **Initiative: Each employee is issued a photo-ID card, enhanced with**
biometrics where possible, and a unique Employee ID number

Ensuring accountability is essential. Photo ID cards are used as identification of authority,

but also for access control measures. Unique employee ID numbers are used for payroll, training,

and personnel records, and evidence chain of custody. Use of this system helps prevent the

existence of "ghost" officers (a problem encountered in both Iraq and Afghanistan) and other

corrupt activities.

4.1.8.1 Metric: Total number of ID cards issued to employees divided by Total number of employees (Target performance equals 100%).

4.2   Standard: Financial processes are consistent with accounting standards

Representative Governance requires transparency and accountability. In the expenditure of public funds, all financial processes should be consistent with accounting standards. Carty (2009) provides in Standard 22, "Police…should spend financial resources efficiently" (p. 14). The Council of Europe (1997) addresses this topic as well in the Twenty Guiding Principles for the Fight Against Corruption (Principle 12 regarding use of Audits and Principle 14 regarding transparent procurements). Smaller agencies may have external financial management, but where internal financial management is present the financial process should be consistent with accounting standards.

4.2.1   Initiative: Where internal financial management exists, Policy requires accounts receivable and accounts payable ledgers are maintained

Accounting standards establish paper trails, and paper trials are required for audits of accounts. The most fundamental of these are the accounts receivable and accounts payable ledgers.

4.2.1.1 Metric: Policy requiring accounts receivable and accounts payable be maintained exists (Target performance equals Yes).

4.2.1.2 Metric: Accounts receivable and accounts payable ledgers exist (Target performance equals Yes).

4.2.2   Initiative: Where internal financial management exists, Policy mandates that supply and equipment orders are predicated on authorized Purchase Orders

Purchase Orders authorize personnel to purchase, and vendors to supply, goods and

services. Use of Purchase Orders establishes written documentation of requests and authorizations.

> *4.2.2.1 Metric: Policy requiring orders be predicated on authorized Purchase Orders exists (Target performance equals Yes).*
>
> *4.2.2.2 Metric: Total number of orders made by purchase order divided by Total number of orders made (Target performance equals 100%).*

4.2.3   Initiative: Where internal financial management exists, Policy requires Payments be made from invoices

Invoices help establish paper trails useful in audits. Also, invoices (based on Purchase Orders) provide a clear picture on the authenticity of the expense.

> *4.2.3.1 Metric: Policy requiring invoice to make payment exists (Target performance equals Yes).*
>
> *4.2.3.2 Metric: Total number of payments made from invoice divided by Total number of payments made (Target performance equals 100%).*

4.2.4   Initiative: Where internal financial management exists, Policy requires daily reconciliation of cash accounts

Cash accounts are always suspectable to nefarious activity. Daily reconciliation of cash account balances helps promote transparency and reduces the opportunity for abuse and theft.

4.2.4.1 Metric: Policy requiring daily cash reconciliation exists (Target performance equals Yes).

4.2.4.2 Metric: Total number of cash reconciliations performed divided by Total number of days in reporting period (Target performance equals 100%).

4.2.5 Initiative: Where internal financial management exists, Policy requires audits of financial accounts

Audits promote transparency and ensure proper accounting of financial accounts. Audits are time consuming and manpower intensive but should be required yearly (at a minimum) or quarterly (preferred).

4.2.5.1 Metric: Policy requiring yearly audits of financial accounts exists (Target performance equals Yes).

4.2.5.2 Metric: Total number of financial audits conducted in a year (Target performance equals 1).

4.2.6 Initiative: Policy requires Payroll payments are made directly to personnel electronically

Past police Missions encountered several incidents where station commanders supplemented their pay by deducting (and redirecting) pay from subordinates. Electronic payments prevent supervisor interference with the payroll process.

4.2.6.1 Metric: Policy requires payroll payments directly to personnel electronically exists (Target performance equals Yes).

4.3 Standard: Assets are accounted for

It has been projected that the Afghan National Police siphoned over 50% of the allocated fuel through corruption (Mason, 2015). Common in Afghanistan were reports that new recruits

sold their uniforms and boots at local markets. Improper asset control fuels corrupt activity, and corrupt activity erodes public trust (Bayley and Perito, 2011). Carty (2009) notes in Standard 22, "Police officers should take proper care of and maintain equipment…" (p. 14).

4.3.1   Initiative: Policy requires inventory of assets (Quartermaster and personnel equipment) and evidence be conducted

Like audits, inventories promote transparency and accountability. Minimally, inventories should be conducted annually, though quarterly inventories would be preferred.

4.3.1.1 Metric: Policy requiring annual asset inventory exists (Target performance equals Yes).

4.3.1.2 Metric: Total number of Quartermaster inventories conducted annually (Target performance equals 1).

4.3.1.3 Metric: Total number of Personnel Equipment inventories conducted annually (Target performance equals 1).

4.3.1.4 Metric: Total number of evidence inventories conducted annually (Target performance equals 1).

4.3.2.   Initiative: Policy establishes agency control over all agency assets including funds, fuel, equipment, weapons, vehicles, and communication devices (and prohibits use for personal gain)

In Iraq and Afghanistan, agency assets were sometimes considered personal assets by station commanders. A clear Policy would help identify conversion of agency assets to personal use as an act of corruption.

4.3.2.1 Metric: Policy identifying agency control over agency assets exists (Target performance equals Yes).

4.3.3   Initiative: Policy mandates missing inventory is classified (Lost, Damaged, Destroyed or Stolen) and requires supporting investigation

Inventory items that are missing present opportunity for theft and/or misappropriation. Investigations regarding missing items should be investigated to resolve discrepancies and ensure accountability.

4.3.1.1 Metric: Policy mandating classification, and support investigation, for missing inventory exists (Target performance equals Yes).

4.3.1.2 Metric: Total number of investigations of missing inventory items divided by total number of reported missing items (Target performance equals 100%).

4.4   Standard: Personnel are accounted for

As noted in Standard 4.3, improper asset control fuels corruption. So too does improper control over personnel accountability. Over 30% of Afghan National Police were "ghost" officers (officers being paid but no longer employed, with the payments made to station commanders) based upon U.S. government projections (Mason, 2015). Operationally, accounting for all personnel is a matter of officer safety and ensures effective deployment of personnel to meet public needs. Administratively, improper personnel accountability promotes corruption and loss of public trust.

4.4.1   Initiative: A master roster of personnel (Employee ID Number, Name, Rank or Position, Assigned Location, System Assigned, and Enabler Classification) is maintained and updated daily.

The first step in personnel accountability is the knowledge of who employees are and the ability to discern their location, job function (i.e., Administration, Finance, Patrol, Investigations), and Enabler Classification (Administrator, Management, Supervisor or Line Personnel).

> ***4.4.1.1 Metric: A Master Roster of personnel exists and is updated daily (Target performance equals Yes).***

4.4.2   Initiative: Daily Personnel Status Reports are prepared for every location (including Date, Shift, Names of all personnel assigned at the location and their status for the day such as On Duty, Day Off, Sick, Leave: AWOL)

The second step in personnel accountability is the knowledge of who is working on a particular day and their assignment (especially if they are a field line officer). This is not only used to pay the employee accordingly, but to ensure personnel return from work assignments safely.

> ***4.4.2.1 Metric: Total number of Daily Personnel Status Reports divided by number of days in reporting period (Target performance equals 100%).***

4.4.3   Initiative: A Daily Operational Readiness Report (Personnel, Vehicles, and Equipment) is generated daily and provided to Administration

Knowledge of Operational Readiness is essential for Administrators who will be confronted with varying requests and needs for service throughout the day. If a major incident occurs, or there is a need for additional resources in a particular area, the Administrator may need to reallocate personnel and/or equipment. The Daily Operational Readiness Report should include Personnel, Vehicles, and Equipment.

4.4.3.1 Metric: Total number of Daily Operational Readiness Reports divided by number of days in reporting period (Target performance equals 100%).

4.5   Standard: Human Resources are managed

Managing Human Resources available to the agency is important in that it helps create the segue to transparency. The Human Resource function helps ensure non-discriminatory recruitment and hiring practices, proper promotional processes, and discipline consistent with policy. Smaller agencies may have the Human Resource function external to the organization.

4.5.1   Initiative: Where appropriate, A Human Resource section is established

Where Human Resources are not managed by a higher authority, agencies should have a Human Resource section dedicated to managing Human Resources within the agency.

4.5.1.1 Metric: There is a Human Resource section (Target performance equals Yes).

4.5.2   Initiative: Policy mandates Employee files are maintained

Employee files are the central repository of all employee related records (applications, promotions, discipline, training, commendations, and miscellaneous communications) and provide complete and rapid access to employee related records.

4.5.2.1 Metric: Policy mandating maintenance of Employee files exists (Target performance equals Yes).

4.5.3   Initiative: Policy mandates each job function have a corresponding codified Job Description, a copy of which is provided to the employee

Job Descriptions identify specific expectations of employee performance related to the employee's current position. Employees must be aware of expectations related to their performance.

4.5.3.1 Metric: Policy mandating codified Job Descriptions exists (Target performance equals Yes).

4.5.3.2 Metric: Policy mandating employees receive a copy of their Job Description exists (Target performance equals Yes).

4.5.3.3 Metric: Total number of Job Descriptions issued to employees divided by Total number of employees (Target performance equals 100%).

5.   Outcome: Law Enforcement is in partnership with the community

Effective communication is essential in building sustainable relationships with the community. Standard 95 of Carty (2009) speaks to the creation of public forums to discuss crime and safety issues (Council of Europe, 2001).

5.1   Standard: Law enforcement is engaged with media

To foster the embracement of transparency, law enforcement must be engaged with the media (Carty, 2009, Standard 84; Carty, 2009, Standard 97). This engagement is not to control the messaging of media content, but to demonstrate commitment to transparent operations.

5.1.1   Initiative: There is a designated person or persons responsible for maintaining relationships with media outlets and issuing press releases

Standard 97 in Carty (2009) speaks to the role of agency spokespersons (Council of Europe, 2001).

5.1.1.1 Metric: A person or persons are designated for maintaining media relations (Target performance equals Yes).

5.1.2 Initiative: Critical law enforcement information is provided to media

Interaction with media serves to demonstrate transparency, but also an opportunity to provide citizens with critical law enforcement information (crime trends, safety information, etcetera).

5.1.2.2 Metric: Total number of press releases issued (Target performance equals continual increase in releases issued).

5.2 Standard: Law enforcement is engaged with the community

Law enforcement serves the community, not politics (Carty, 2009, Standard 3; Council of Europe, 2000; United Nations, 1979). Serving the community means recognizing, and responding to, community needs. This requires active engagement and partnerships with the community (Carty, 2009, Standard 99). Standards 99-104 in Carty (2009) address police-community forums. Forums are, without a doubt, a good way to encourage empowering conversations. The problem is that forums should not be generated by law enforcement. Healthy communities are those that are engaged with all facets of governance and are citizen led as opposed to government led. The ideal occurrence would be community members holding a meeting (a civic group or a neighborhood group) and inviting law enforcement to address a portion of the meeting. The least ideal occurrence is for law enforcement to hold a meeting and invite the community. What is important is that law enforcement is looking for the opportunity to engage community members.

5.2.1   Initiative: Citizen surveys (general surveys and surveys of crime victims) query relations with, and attitudes towards, law enforcement

Standard 103 in Carty (2009) identifies the need for public surveys.

5.2.1.1 Metric: Total number of citizen surveys distributed (Target performance - none - used to calculate Metric 5.2.1.3).

5.2.1.2 Metric: Total number of citizen surveys returned and processed (Target performance - none - used to calculate Metric 5.2.1.3).

5.2.1.3 Metric: Total number of citizen surveys returned divided by total number of citizen surveys distributed (Target performance - none - subject to interpretation of the parties involved).

5.2.2   Initiative: Members of Command Staff meet with citizens to discuss crime and quality of life issues

Community Policing activity is not restricted to line personnel. Command Staff can, and should, play an integral role. Command Staff should, when invited, seize the opportunity to discuss crime and quality of life issues with community members. Information gleaned from such meetings should be routed back to line officers.

5.2.2.1 Metric: Total number of citizen meetings attended by Command Staff (Target performance - none - subject to the interpretation of the parties involved).

5.2.3 Initiative: A log of citizen survey results, all meetings held with citizens (date, participants, and synopsis of discussions), and attempts at citizen engagement/outreach for staff review are maintained

Information and effort are only as valuable as the ability to retrieve and react. Logs (or official reports) should be maintained, analyzed and shared regarding all citizen engagements, and citizen survey results should be closely watched as an indicator of citizen satisfaction.

5.2.3.1 Metric: Log of surveys, meetings and attempts at engagement exists (Target performance equals increase from previous reporting period).

5.2.4 Initiative: Sworn personnel receive training in Community Policing and developing community partnerships and collaboration

At its core, Community Policing describes the function of police in a Representative Government. Police work FOR the community. Agencies have developed units and programs to enhance what should be an agency-wide approach-serving the community by coming into collaboration. Notwithstanding Standard 107 in Carty (2009) agencies do not need community police officers, rather, agencies need the recognition that they are all community police officers. Properly trained and empowered, officers come into collaboration with citizens, neighborhoods, and the community to resolve issues. These issues may not be resolved in a single shift, and probably will not be solved by the officer working independently. However, with the knowledge of available resources to assist in the endeavor, officers should be able to partner with all stakeholders to find resolution.

5.2.4.1 Metric: Total number of sworn personnel trained in Community Policing divided by total number of sworn personnel (target performance increasing to 100%).

5.2.5   Initiative: Sworn personnel receive training in Problem Solving

Police need to learn how to leverage relationships and apply solutions that are broad-based. Carty (2009) proposes Standard 99 and the creation of public forums to assist in Problem Solving and resolving community issues. Carty (2009) does, in Standard 107, prefer dedicating a group of officers to the Community Policing outreach program rather than deferring that function to the organization as a whole.

5.2.5.1 Metric: Total number of sworn personnel trained in Problem Solving divided by Total number of sworn personnel (Target performance increasing to 100%).

5.2.6   Initiative: Personnel receiving training in building sustainable collaborative efforts

At the heart of Representative Policing is that police serve the public and solve community issues. That task is not completed in a vacuum. To address many community issues, it will be necessary for law enforcement to work collaboratively with other government agencies, non-governmental agencies, and the public at large. Carty (2009) identifies government agencies, non-government agencies, and others as being ripe for collaborative efforts.

5.2.6.1 Metric: Personnel receiving training in Building Collaborative Efforts

divided by the total number of personnel (Target performance equals 100%).

6.   Outcome: Law Enforcement promotes a culture of training

Carty (2009) speaks of training, but not in a way of prioritizing a culture of training in the agency. Training is the foundation upon which effective and professional police service resides. Training is an ongoing investment in agency personnel and ensures that personnel have the knowledge and skill sets to meet the professional expectations placed upon them. While some of the Standards and Initiatives may, on their face, appear to be mere Industry Best Practice- they must be considered Global Police Standards to achieve a culture of training.

6.1   Standard: Training is fundamental to accomplishing the police function

Missing from Carty (2009) is a strong commitment to training. Though important to any organization, training is the backbone of police reformation efforts. Training not only provides the skills required, but also sets performance expectations and ensures proper execution of the law enforcement Mission. A strong commitment to training, too, ensures effective Continuous Improvement and Quality Management models.

6.1.1   Initiative: To the extent appropriate, a Training Division exists within the organization

Small, local agencies may not have resources to provide training internally, in which there needs to be a regional or national training conduit available. In other cases, a Training Division should exist internally.

6.1.1.1 Metric: A Training Division, Unit, or external source of training exists (Target performance equals Yes).

6.1.2   Initiative: Policy requires a Training Needs Assessment be conducted annually detailing training needs (identified by review of: Use of Force Summary, Corruption Summary, Human Rights Summary, and discussions with Staff and employee surveys) and anticipated number of courses, classes, students, instructors and required resources (per resource classification)

Standard 148 in Carty (2009) establishes the need to identifying training needs. As noted in previous Standards and Initiatives, that process should include review of Use of Force, Corruption, and Human Rights summaries. Pathy (2019) notes, "A Training Needs Analysis (TNA) is used to assess an organization's training needs. The root of the TNA is the gap analysis. This is an assessment of the gap between the knowledge, skills, and attitudes that the people in the organization currently possess and the knowledge, skills, and attitudes that they require to meet the organization's objectives" (p. 18).

6.1.2.1 Metric: Policy requiring annual Training Needs Assessment exist (Target performance equals Yes).

6.1.2.2 Metric: Annual Training Needs Assessment completed (Target performance equals Yes).

6.1.3   Initiative: Training facilities are sufficient in size and quantity to provide organizational-wide training

The Training Needs Assessment will identify the training required, anticipated number of students, required number of instructors, and resources required to deliver the training. Training facilities should be capable of meeting those needs.

6.1.3.1 Metric: Total number of anticipated students (per Training Needs Assessment) divided by Total number of Training Seats available (Target performance increasing to 100%).

6.1.3.2 Metric: Total number of instructors required (per Training Needs Assessment) divided by Total number of Instructors (Target performance increasing to 100%).

6.1.3.3 Metric: Total number of resources required (per Training Needs Assessment) divided by Total number of resources available (by resource classification) (Target performance, per resource classification, increasing to 100%).

6.1.4   Initiative: Personnel are literate

Standard 3.2 requires that the organizational efforts are governed by codified Policy and Procedure. Organizational personnel must be able to read and comprehend those policies. Additionally, for training to be effective, students must be literate. As well, training personnel before they are literate renders training ineffective.

6.1.4.1 Metric: Policy requiring literacy exists (Target performance equals Yes).

6.1.4.2 Metric: Policy provides remedial action for personnel found to be illiterate (Target performance equals Yes).

6.1.4.3 Metric: Total number of employees tested for literacy divided by Total number of personnel (Target performance increasing to 100%).

6.2   Standard: Training is Effective

Birzir (2003) notes for training to result in increased performance, it must be effective (learning must occur). "…it is important for authorities that are involved in training police to

have specific knowledge on the most effective teaching/learning methods so that trainees learn and conceptualize new information and tasks more effectively" (p. 30).

6.2.1   Initiative: Training is based upon codified Lesson Plans, codified Learning Objectives, and identified resource requirements

Effective training does not happen by accident. Effective training is predicated in a plan that includes Lesson Plans, Learning Objectives, and resources required to conduct the training.

6.2.1.1 Metric: A Master Cross Reference of Lesson Plans, Learning Objectives and Resources required exists (Target performance equals Yes).

6.2.2   Initiative: Lesson Plans incorporate lectures and practical exercises

"While experience is a great teacher, it cannot replace what can be best taught in a classroom and vice versa. A case could be made that the best learning environment is created when these two learning modalities are integrated within a course rather than partitioned throughout multiple courses in the curriculum" (Wrenn and Wrenn, 2009, p.1). While the andragogical (adult learning) method of instruction is preferred over behaviorist instructional methodologies (militaristic), that is more an Industry Best Practice rather than a minimal standard of Representative Policing.

6.2.2.1 Metric: Total number of Lesson Plans incorporating a lecture divided by Total number of Lesson Plans (Target performance increasing to 100%).

6.2.2.2 Metric: Total number of Lesson Plans incorporating a practical exercise divided by Total number of Lesson Plans (Target performance increasing to 100%).

6.2.3   Initiative: Training is resourced as per the Lesson Plan

Effective training requires that resources and training aides necessary to conduct the training are identified and provided.

6.2.3.1 Metric: Total number of Instructor Class Evaluations indicating missing resources divided by Total number of classes conducted (Target performance decreasing to 0%).

6.2.4   Initiative: Policy sets minimum qualification to be an instructor

Effective training requires that instructors be trained to a suitable standard (which may vary between Missions). Agency Policy should specifically identify the requirements to be a training instructor.

6.2.4.1 Metric: Policy establishing minimal qualifications to be an instructor exists (Target performance equals Yes).

6.2.4.2 Metric: Total number of instructors meeting minimal qualifications divided by Total number of instructors (Target performance increasing to 100%).

6.2.5   Initiative: Policy establishes minimum student performance to pass a class

Effective training is training that results in increased student knowledge and performance. Students must demonstrate that increased knowledge and performance.

6.2.5.1 Metric: Policy establishing minimum student performance exists (Target performance equals Yes).

6.2.6   Initiative: Policy identifies remedial action to be taken when student fails to meet minimum performance to pass a class

In cases where students fail to demonstrate increased knowledge and/or performance, Policy should identify remedial action to be taken.

6.2.6.1 Metric: Policy identifying remedial action for students failing a class exists (Target performance equals Yes).

6.2.6.2 Metric: Total number of remedial actions taken divided by Total number of students failing a class (Target performance increasing to 100%).

6.2.7   Initiative: Pre-Test and Post-Test are given measuring knowledge gain in each Learning Objective

Administration of Pre-Test and Post-Test measure increase in knowledge and are a gauge of training effectiveness.

6.2.7.1 Metric: Total number of Pre-Tests administered divided by Total number of students (Target performance increasing to 100%).

6.2.7.2 Metric: Total number of Post-Tests administered divided by Total number of students (Target performance increasing to 100%).

6.2.7.3 Metric Post-Test scores minus Pre-Test scores divided by Total number of students (Target performance >0).

6.2.8   Initiative: Student performance in Practical Exercises is graded

Not only should students increase knowledge of the subject matter, but they should also increase their performance. Practical exercises conducted by students should be graded to ensure

that student competency has been achieved. Practical exercises occur in two forms: a practical exercise developed for a class that presents opportunity to demonstrate competency in the application of learning objectives, and a Cumulative Training Exercise (CTE) completed at the end of a Course (comprised of several classes) developed to present opportunities to demonstrate competency in the array of learning objectives presented in the Course. A CTE can be a multi-day event presenting students with injected scenarios developed based upon the learning objectives presented.

> *6.2.8.1 Metric: Total number of student practical exercises graded divided by Total number of student exercises (Target performance equals 100%).*

6.2.9   Initiative: Analysis by Instructor (Pre-Test and Post-Test student achievement by Class) is performed

Measuring instructor performance is as important as measuring student performance. Comparing student performance (Pre-Test versus Post-Test) on specific Learning Objectives indicates the strengths and weaknesses of instructors teaching certain learning objectives. This analysis not only assists in instructor development, but is also useful in determining which instructor should be teaching certain classes.

> *6.2.9.1 Metric: Total number of Instructor analysis divided by Total number of Instructors (Target performance increasing to 100%).*

6.3   Standard: Training is Efficient

Training is an expensive proposition. To ensure training capacity is maximized, training should be delivered in an efficient manner.

6.3.1 Initiative: A Master Schedule of all training to be conducted throughout the year is maintained and published

Providing a published master schedule of classes being offered affords the agency, and supervisors, the opportunity to compare the needs of their employees to the training opportunities forthcoming and to plan accordingly. Further, developing the master schedule ensures proper resourcing (instructor availability, training seats available, and training aids committed).

6.3.1.1 Metric: A Master Schedule of Training exists (Target performance equals Yes).

6.3.2 Initiative: Training attendance is maximized

For training to be efficient, all resources available (instructors, training seats and training aids) should be utilized. Failure to fill all training seats represents a loss of opportunity.

6.3.2.1 Metric: Total number of training seats available (Target performance - none - used to calculate Metric 6.3.2.3).

6.3.2.2 Metric: Total number of training seats filled (Target performance - none - used to calculate Metric 6.3.2.3).

6.3.2.3 Metric: Total number of training seats filled (Metric 6.2.3.2) divided by Total number of Training Seats available (Metric 6.3.2.1) (Target performance increasing to 90%).

6.3.2.4 Metric: Total number of Student Absences (classes) (Target performance - none - calculation used in Metric 6.3.2.5).

6.3.2.5 Metric: Total number of training seats filled (Metric 6.3.2.2) minus Total number of Student Absences (Metric 6.3.2.2) divided by Total number of training seats available (Metric 6.3.2.1) multiplied by 100 (Target performance <5%).

6.3.3   Initiative: Training time is maximized

Failure to utilize training time allocated either represents poor planning (misjudgment of training time required to deliver defined Learning Objectives) or poor class management. In either case the result is lost training opportunity.

6.3.3.1 Metric: Total training time scheduled (Target performance - none- used to calculate Metric 6.3.3.3).

6.3.3.2 Metric: Total training time used (Target performance - none - used to calculate Metric 6.3.3.3).

6.3.3.3 Metric: Total training time used divided by Total training time scheduled (Target performance increasing to 90%).

6.3.3.4 Metric: Total student surveys (required under Initiative 6.4.1) indicating sufficient training time divided by Total number of Classes (Target performance increasing to 90%).

6.3.3.5 Metric: Total Instructor Class Evaluations (required under Initiative 6.4.1) indicating sufficient training time divided by Total number of Class Evaluations (Target performance increasing to 90%).

6.4   Standard: Training is Relevant

Training should be related to the performance expectation of the employee and be centered on increasing the employee performance. Also, training should replicate real-life scenarios that the employee will encounter (Carty, 2009, Standard 146). The organization should review all Use of Force and Corruption reports to assess the training needs of the organization. Carty (2009) explains "…the analysis of these reports should help identify trends, improve training and employee safety, and provide timely information for the agency addressing issues of concern with the public" (p. 28).

6.4.1   Initiative: Training conducted is assessed

To ensure that training is effective, and to support Continuous Improvement and Quality Management, all training should be assessed by: the organization (Course-Class reports)

assessing training time used versus training time scheduled, training seats filled versus seats available, Pre-Test scores versus Post-Test scores, student attendance, resource compliance, training area assessment (cleanliness, size, airflow, and temperature), problems encountered and class relevance); instructors (Course Instructor) assessing training area assessment (cleanliness, size, airflow, and temperature), missing resources, problems encountered; and students (Course Student) assessing training area assessment (cleanliness, size, airflow, and temperature); missing resources, problems encountered, instructor assessment, and class relevance.

> ***6.4.1.1 Metric: Total Training Course-Class reports divided by Total Courses-Classes conducted (Target performance increasing to 100%).***
>
> ***6.4.1.2 Metric: Total number of Course-Instructor Evaluation Reports divided by Total number of classes delivered (Target performance increasing to 100%).***
>
> ***6.4.1.3 Metric: Total Course-Student Surveys divided by Total number of Students enrolled (Target performance increasing to 100%).***

6.5   Standard: Training Records are maintained

Maintaining training records ensures that the workforce receives the training needed and required. Training records also help ensure personnel assignments and promotions are optimized (Initiatives 3.5.1 and 3.5.4).

6.5.1   Initiative: Student transcripts are maintained and include testing results

As noted in Initiative 3.6.4, student transcripts should be a part of the Employee File and are useful in determining assignments and promotions.

6.5.1.1 Metric: Total number of student transcripts divided by Total number of personnel (Target performance increasing to 100%).

6.6   Standard: All employees receive training

All personnel need to receive training commensurate with their position in the organization as training sets performance expectations (Carty, 2009, Standard 147).

6.6.1   Initiative: Training Course for Basic Recruit training is established

Standard 147 in Carty (2009) identifies that initial training should be developed.

6.6.1.1 Metric: Basic Recruit Training Course exists (Target performance equals Yes).

6.6.2   Initiative: Law enforcement agencies have a Policy requiring all agency sworn personnel attend Basic training (including Administration)

Basic training sets the foundation, upon which rests all future training. Expectations of all employee performance, base concepts of police strategy and optimal tactics, are required for all levels of the police function.

6.6.2.1 Metric: Total number of sworn personnel attending Basic Recruit Training divided by Total number of sworn personnel (Target performance increasing to 100%).

6.7   Standard: Training spans an employee's career

Training of personnel must be ongoing throughout the employee's career to ensure that prior training is reinforced and new areas of concern are addressed (Carty, 2009, Standard 147).

6.7.1   Initiative: Training courses and classes are grouped by police function and enabler status so that each employee has training relevant to their position

Relevant training is that training applicable to each job function. While some training is global to the police function (such as Basic Training), other training is job specific.

>*6.7.1.1 Metric: Cross reference of Courses by Function and Enabler exists (Target performance equals Yes).*

6.7.2   Initiative: Policy mandates sworn personnel receive a minimum number of training hours per year

As noted in Carty (2009) Standard 147, training should be an ongoing process. It should capture changes in environments, tactics, protocols, and procedures. Training also serves to replenish perishable skills.

>*6.7.2.1 Metric: Policy mandating minimum annual hours of training exists (Target performance equals Yes).*

>*6.7.2.2 Metric: Total number of sworn personnel receiving training each year divided by Total number of sworn personnel (Target performance increasing to 100%).*

7.   Outcome: Law Enforcement is effective and efficient within the Rule of Law

Law enforcement should never be tasked with effective operations without the caveat constraining activity within the Rule of Law. Carty (2009) notes "…citizens demand professional service from police and security forces, which should be effective, efficient and responsive to their needs" (p. 7).

7.1   Standard: Law enforcement properly staffed

7.1.1   Initiative: Law enforcement properly staffed

To be effective, the law enforcement function must be staffed appropriate to the population. Dobbins et al (2007, p. xxviii) identifies a minimum staffing of one sworn officer for every 500 citizens (with total payroll three times per capita GPD).

> ***7.1.1.1 Metric: Total population divided by 500 (Target performance - none - result used to determine Metric 7.1.1.3).***
>
> ***7.1.1.2 Metric: Total number of police personnel (Target performance - none - used to determine Metric 7.1.1.3).***
>
> ***7.1.1.3 Metric: Metric 71.1.1. minus Metric 7.1.1.2 (Target performance > -1).***
>
> ***7.1.1.4 Metric: Total per capita GPD multiplied by 3 (Target performance - none - used to determine Metric 7.1.1.6).***
>
> ***7.1.1.5 Metric: Total agency Payroll (Target performance - none - used to determine Metric 7.1.1.6).***
>
> ***7.1.1.6 Metric: Metric 7.1.1.4 minus Metric 7.1.1.5 (Target performance < 0).***

7.2   Standard: Law Enforcement centered on service rather than control

Carty (2009) notes under Standard 2, "Progress towards democratic policing is made when there is a shift 'from a control-oriented approach to a more service-oriented approach'" (OSCE, 2002, p.6). Carty (2009) notes in #107 that Community Policing Teams should be created. Community Policing is not about "Teams" or "Units". While creation of such teams is one way to build a bridge to the community (which is essential to Representative Policing), it is not required. What IS required is that law enforcement partners with the community in solving community problems. Standard 3.1 addresses employee empowerment. Birzer (2003) notes

"Community-policing differs from traditional law enforcement because it allows officers the freedom to expand the scope of their jobs" (p.30). Police must be able to exercise discretion and make decisions at the lowest possible level. Empowering police is certainly an essential element of Representative Policing, as is focusing police activity on community service versus control over the community.

7.2.1 Initiative: Sworn personnel receive training in Conflict Resolution

Service to the community often revolves around resolving conflict that is found to exist. Interceding in citizen or neighborhood disputes prevents assaults and disruptive behavior.

> *7.2.1.1 Metric: Total number of sworn personnel receiving training in Conflict Resolution divided by Total number of sworn personnel (Target performance increasing to 100%).*

7.2.2 Initiative: Sworn personnel receive training in Effective Communication

To resolve conflict, personnel often take on the role of arbiter or communications facilitator. This requires personnel to understand Effective Communication techniques.

> *7.2.2.1 Metric: Total number of sworn personnel receiving training in Effective Communication divided by Total number of sworn personnel (Target performance increasing to 100%).*

7.2.3 Initiative: Sworn personnel receive training in De-escalation

Police, in a representative governance model, need to develop skills in de-escalation. De-escalation allows police to lesson threats posed by combative persons and prevents potential use of force. The focus shifts from authoritarian solutions to mutual understandings. There will be sufficient opportunities for police to impose authoritarian solutions, but these can be minimized by implementing de-escalation techniques.

7.2.3.1 Metric: Total number of sworn personnel receiving training in De-escalation divided by the Total number of sworn personnel (Target performance increasing to 100%).

7.2.4   Initiative: Sworn personnel receive training in Crime Prevention Through Environmental Design (CPTED) and other Crime Prevention Strategies

Crime Prevention activities help present law enforcement as more of a service-oriented agency (Carty, 2009, Standard 2).

7.2.4.1 Metric: Total number of personnel receiving training in CPTED and other Crime Prevention Strategies divided by the Total number of sworn personnel (Target performance increasing to 100%)

7.2.5   Initiative: Crime victims are provided Crime Prevention information

Crime Prevention activities help ensure law enforcement is viewed as a service-oriented agency (Carty, 2009, Standard 2). Providing victims with Crime Prevention information helps build a service-oriented agency.

7.2.5.1 Metric: A Crime Prevention document or pamphlet exists (Target performance equals Yes).

7.2.5.2 Metric: Total number of Crime Prevention documents distributed divided by Total number of crime victims (Target performance increasing to 100%).

7.2.6   Initiative: Jurisdictions are divided into specific staffed patrol zones

Establishment of codified patrol zones help ensure no area of the jurisdiction is denied police response. The Universal Declaration of Human Rights (United Nations, 1948) specifies: (1) all persons are born free and of equal rights (Article 1); (2) all persons have the right to life,

liberty, and security (Article 3); and (3) all persons are equal before the law (Article 7). Prevention of discriminatory policing (either over-policing or under-policing communities) must be secured.

7.2.6.1 Metric: Patrol zones encompassing the entire community are established (Target performance equals Yes).

7.2.7 Initiative: A Communications Section is responsible for coordinating communications and dispatching Patrol Zones to calls for service

Communications in a police agency can be as rudimentary as cellular communications or as complex as trunked radio communications and/or Mobile Data Terminals installed in police vehicles. Communications, though, must be coordinated. The coordination of communication activity should rest within a Communications Section or Unit in the police function to ensure effective use of police resources. This can be an internal agency asset or part of a broader external system.

7.2.7.1 Metric: A Communications Section exists (Target performance equals Yes).

7.3 Standard: Law Enforcement is proactive

While law enforcement should respond to reports of crime, preventing crime and community conflicts helps keep citizens safe (Carty, 2009, Standard 2).

7.3.1 Initiative: Law enforcement patrols are conducted

One function of law enforcement is proactive crime prevention (Carty, 2009. Standard 2). Proactive police patrols should not be focused on a show of force - rather, patrol should be focused on proactive crime prevention and service to the community. This implies that codified police zones (Initiative 7.2.4) are staffed and routinely patrolled.

7.3.1.1 Metric: Total number of Patrol Zones established times Total number of shifts within a specified time-period (Target performance - none - used to calculate Metric 7.3.1.3).

7.3.1.2 Metric: Total number of Patrol Zones staffed for each shift within a specified time-period (Target performance - none - used to calculate Metric 7.3.1.3).

7.3.1.3 Metric: Staffed patrol zones (Metric 7.3.1.2) divided by Total number of Patrol Zones times the total number of shifts within a specified time-period (Metric 7.3.1.1) (Target performance increasing to >75%).

7.3.2   Initiative: Sworn personnel are trained in the Patrol function including Proactive Police Patrols, Crime Response, and Car Stops.

One function of law enforcement is proactive crime prevention (Carty, 2009. Standard 2). Proactive police patrols should not be focused on a show of force, rather patrol should be focused on proactive crime prevention and service to the community. In order for police to conduct proactive patrols, respond to crimes, and safely (and properly) conduct car stops, they must first be trained in those functions.

7.3.2.1 Metric: Total number of sworn personnel receiving training in the Patrol Function divided by the Total number of sworn personnel (Target performance increasing to 100%).

7.4   Standard: Facilities and equipment are maintained

Investment in law enforcement infrastructure is required. This includes facilities, Information Technology equipment, weapons, and other equipment. To ensure efficient use of funds, maintaining law enforcement facilities and equipment are required. This includes

cleaning, upkeep, repair, or replacement of facilities and equipment to ensure capabilities are maintained. This function can be internal or external to the organization.

7.4.1   Initiative: Facility Maintenance function is delegated

Whether internal or external to the organization, someone must be delegated the Facility Maintenance function.

7.4.1.1 Metric: Persons are assigned Facility Maintenance function (Target performance equals Yes).

7.4.2   Initiative: Facility Maintenance is a scheduled activity

Routine cleaning should occur at regular, predefined intervals (by hours of operation or time intervals).

7.4.2.1 Metric: Facility Maintenance schedule of cleaning exists (Target performance equals Yes).

7.4.3   Initiative: Preventative Facility Maintenance activity occurs

Routine checks of equipment operational readiness should occur at regular, predefined intervals (including, but not limited to, fluid levels, conditions of belts or other mechanical subsystems). This would include a summation of fuel time remaining on mechanical items (such as generators).

7.4.3.1 Metric: Preventative Facility Maintenance schedule exists (Target performance equals Yes).

7.4.3.2 Metric: Facility Operational Readiness Report is generated daily detailing the serviceability of major equipment (Target performance equals Yes).

7.5   Standard: Vehicles are maintained

Just as facilities and equipment need to be capable, vehicle maintenance, repair or replacement must also occur. This can be either internal or external to the agency.

7.5.1   Initiative: Vehicle Maintenance function is delegated

Whether internal or external to the agency, the function of vehicle maintenance must be present and staffed.

> *7.5.1.1 Metric: Persons are assigned the Vehicle Maintenance function (Target performance equals Yes).*

7.5.2   Initiative: Current vehicle status is tracked and reported daily

Operational Readiness is a concept that determines to what percentage of capability the agency is operating under. This includes personnel staffing and resources required (including vehicles). Operating at 100% capability is too lofty a goal but achieving a minimum of 75% readiness helps ensure effective operations.

7.5.2.1 Metric: Number of vehicles In-Service (Target performance - none - used to calculate Metric 7.5.2.4).

7.5.2.2 Metric: Number of vehicles Out of Service for repairs (Target performance - none - used to calculate Metric 7.5.2.4).

7.5.2.3 Metric: Number of vehicles Un-serviceable (Target performance - none - used to calculate Metric 7.5.2.4).

7.5.2.4 Metric: Total number of vehicles In-Service (Metric 7.5.2.1) divided by (Metric 7.5.2.1 plus Metric 7.5.2.2 plus Metric 7.5.2.3) (Target performance no less than 75%).

7.5.3   Initiative: Preventative vehicle maintenance is conducted

To prevent needless interruption of vehicle worthiness, preventative maintenance (fluid changes, tire replacement and rotation, etcetera) should be conducted.

7.5.3.1 Metric: Schedule for preventive vehicle maintenance exists (Target performance equals Yes).

7.6   Standard: Logistic needs are addressed

Developing logistical capabilities, including identification of supply chains, ensures personnel have the items required to perform the law enforcement function. Logistics can be internal or external to the organization.

7.6.1   Initiative: Logistics or Quartermaster function is delegated

Whether internal or external to the agency, Logistics functions should be delegated.

7.6.1.1 Metric: Persons are assigned the Logistics or Quartermaster function

(Target performance equals Yes).

7.6.2   Initiative: Logistic needs are forecasted

The future needs of the agency must be addressed in advance to prevent shortage due to supply chain.

7.6.2.1 Metric: Logistics Forecast exists (Target performance equals Yes).

7.6.3   Initiative: Process for requesting logistic items exists

There should be a process for employees to request needed logistical support and resupply.

7.6.3.1 Metric: Policy defines process for requesting logistic items (Target

performance equals Yes).

7.6.4   Initiative: Logistic requests are fulfilled timely

Logistics is the process of supplying items required to complete a specific function. To be effective, a supply chain should be able to fulfill requests within 30 days.

7.6.4.1 Metric: Total number of logistics requests fulfilled (Target performance - none - used to calculate Metric 7.6.4.3).

7.6.4.2 Metric: Total number of days to fill all requests (Target performance - none - used to calculate Metric 7.6.4.3).

7.6.4.3 Metric: Total number of logistics requests filled (Metric 7.6.4.1) divided by Total number of days to fill all requests (Metric 7.6.4.2) (Target performance < 30).

7.7   Standard: Information Technology is managed

This is not a well-defined section, purposely, of this text. The level to which international actors may, or may not, want to contribute huge sums of money in Information Technology (IT) development is suspect. Not only is the initial cost of IT equipment enormous, but the requisite continued support of IT maintenance can also become overwhelming. There should be an IT function - someone to manage cellular and radio equipment (at a minimum). Computers and associated hardware/software should also be managed by this group. Website development, servers, printers, etcetera, would also fall under IT prevue.

7.7.1   Initiative: The IT function is delegated

The IT function can be external or internal to the organization.

7.7.1.1 Metric: IT function is delegated (Target performance equals Yes).

7.7.2   Initiative: There is a process for requesting IT support

Managing the IT function requires that a process for requesting IT support be codified by Policy.

7.7.2.1 Metric: Policy defines process for requesting IT support (Target performance equals Yes).

7.7.3   Initiative: Preventative Maintenance is conducted

As with buildings and vehicles, IT infrastructure requires preventative maintenance.

7.7.3.1 Metric: Preventative Maintenance schedule exists (Target performance equals Yes).

7.8   Contingency Operations are addressed

There are various man-made and natural events that pose danger to communities and citizens. Martial Law results from poor planning and is only the last line of defense to chaos. Proper planning in advance of disasters provides for organized, fluid, and professional response. The Daily Operational Readiness Report (Initiative 4.4.3) identifies current operational assets present to deal with contingency operations. Sometimes agencies may pursue Letters of Agreement (LOA) or Memorandum of Understanding (MOU) with other agencies or entities to provide mutual aid in the event needed.

7.8.1   Initiative: Policy identifies specialized personnel, internal or external, to assist at major crime events or disasters (e.g., Special Weapons and Tactics Units, Riot Police, Search and Rescue Teams).

Contingency operations place stress on an organization. Preplanning identifies what services may be needed, and which personnel and assets may be deployed during these events. This may involve a MOU with other agencies.

7.8.1.1 Metric: Policy identifying personnel and equipment available for contingency operations exists (Target performance equals Yes).

7.8.2   Initiative: Policy identifies how major events will be managed (e.g., Chain of Command, Officer in Charge, Incident Command System)

Contingency operations involving emergencies, crises, and catastrophes are, by nature, chaotic. A thoughtful command structure during these events reduces the chaos and enhances an organization's ability to serve the community.

7.8.2.1 Metric: Policy identifies how major events and disasters will be managed (Targets performance equals Yes).

7.9   Standard: Citizens are content with law enforcement

The ultimate test of law enforcement's abilities lies in the level of content with citizens. If citizens feel safe, secure, and have trust in law enforcement, the law enforcement Mission has been attained.

7.9.1   Initiative: Public surveys are conducted regarding contentment with law enforcement services

Standard 103 in Carty (2009) identifies the need for public surveys and measure public confidence in police operations. It could be argued that conducting surveys is more Industry Best Practice than a minimal Standard. However, in countries emerging from conflict and transitioning to representative government, it becomes an important mechanism for encouraging citizen involvement in government (and a good way to measure police performance).

7.9.1.1 Metric: Total number of survey respondents' content with law enforcement divided by Total number of surveys returned (Target performance – none - subject to interpretation of the parties involved).

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Figures

Figure 1 (EPM Monthly Report)

	A	B	C		E	F	G	H		I	J
1	Choose ANSF Level				Systems Assessment					Choose ANS	
2	Choose Region				Choose Province		Choose District Name			Enter Precinc	
3	Prepared by:				Choose Mentor Name			Choose Team Name He		
4	Rating System Criteria											
5	1: Capable of autonomous operations				2: Capable of executing functions with oversight only					3: Capable of executir minimal ass	
6	4: Can accomplish its mission but requires some assistance				5: Cannot accomplish its mission without significant assistance					6: Cannot accompl	
7	LEADERSHIP											
8	Rating				Leadership engages problems in a "head on" manner rather than allowing them to remain u						
9	Rating				Leaders coordinate with HHQ and subordinate units to accomplish mission.						
10	Rating				Leadership encourages interaction with his staff, they interact and communicate, exchange i						
11	Rating				Leaders are concerned with the health and welfare of their subordinates.						
12	Rating				Input from various sources is used in decision making.						
13	Rating				Leaders delegate authority for minor tasks.						
14	Rating				Subordinate officers in the chain of command are assigned tasks to develop leadership skills						
15	Rating				Effectively communicates with other ANSF Units such as AUP, ANCOP, ANA, NDS, ALP, APPF						
16	Rating				Maintains a professional appearance and demeanor as appropriate to location.						
17	Rating				Leadership understands basic small unit and basic counter IED tactics.						
18	FINANCE											
19	Rating				Employees are paid in a timely manner.						
20	Rating				Employees are accurately paid.						
21	Rating				Employees are paid electronically if a viable option. Trusted Agent system used as last resor Agent is used, employees sign individually for pay.						
22	Rating				Spot checks of employee payroll are conducted to ensure accuracy.						
23	Rating				Finance tracks budgets and accounts applicable for ANSF level.						
24	Rating				Finance coordinates with Personnel Officer in developing payroll roster or a roster is delivere payroll purposes.						
25	Rating				Errors in payroll are addressed and corrected within 1 pay cycle.						
26	Rating				Finance projects budget needs and makes recommendations on upcoming budgets.						
27	Rating				Finance Department shares information on pending payroll problems so employees are awa						
28	Rating				Finance Department cooperates with other departments to ensure wounded and killed office compensated in accordance with MoI guidelines.						
29	TRAINING											
30	Rating				Records of training are kept, appropriate to level.						
31	Rating				Follow on training is identified and coordinated as needed.						
32	Rating				Unit training needs are reported to unit leadership.						
33	Rating				Personnel assigned to training are tracked through coordination with Personnel Officer to en accountability.						