

# THE POLICE IN AMERICA AN INTRODUCTION



SAMUEL WALKER | CHARLES M. KATZ

## NINTH EDITION THE POLICE IN AMERICA AN INTRODUCTION

**SAMUEL WALKER** University of Nebraska at Omaha

**CHARLES M. KATZ** Arizona State University





#### THE POLICE IN AMERICA: AN INTRODUCTION, NINTH EDITION

Published by McGraw-Hill Education, 2 Penn Plaza, New York, NY 10121. Copyright © 2018 by McGraw-Hill Education. All rights reserved. Printed in the United States of America. Previous editions © 2011, 2008, and 2005. No part of this publication may be reproduced or distributed in any form or by any means, or stored in a database or retrieval system, without the prior written consent of McGraw-Hill Education, including, but not limited to, in any network or other electronic storage or transmission, or broadcast for distance learning.

Some ancillaries, including electronic and print components, may not be available to customers outside the United States.

This book is printed on acid-free paper.

1 2 3 4 5 6 7 8 9 LCR 21 20 19 18

ISBN 978-1-259-14076-1 MHID 1-259-14076-8

Chief Product Officer, SVP Products & Markets: *G. Scott Virkler* Vice President, General Manager, Products & Markets: *Michael Ryan* Vice President, Content Design & Delivery: *Betsy Whalen* Managing Director: *David Patterson* Brand Manager: *Jamie Laferera* Market Development Manager: *Meredith Leo* Director, Content Design & Delivery: *Terri Schiesl* Program Manager: *Deb Hash* Content Project Managers: *Rick Hecker and Katie Klochan* Buyer: *Sandy Ludovissey* Design: *Jessica Serd* Content Licensing Specialist: *Melisa Seegmiller* Cover Image: (c) Erica Simone Leeds; © McGraw-Hill Education; © Getty Images; © Shutterstock Compositor: *Aptara, Inc.* Printer: *LSC Communications* 

All credits appearing on page or at the end of the book are considered to be an extension of the copyright page.

#### Library of Congress Cataloging-in-Publication Data

Names: Walker, Samuel, 1942- author. | Katz, Charles M., author.
Title: The police in America : an introduction / Samuel Walker, University of Nebraska at Omaha, Charles M. Katz, Arizona State University.
Description: Ninth Edition. | Dubuque, IA : McGraw-Hill Education, [2017] | Revised edition of the authors' The police in America, c2013.
Identifiers: LCCN 2016053271| ISBN 9781259140761 (alk. paper) | ISBN 1259140768 (alk. paper)
Subjects: LCSH: Police--United States. | Police administration--United States.
Classification: LCC HV8139 .W35 2017 | DDC 363.20973--dc23 LC record available at https://lccn.loc.gov/2016053271

The Internet addresses listed in the text were accurate at the time of publication. The inclusion of a website does not indicate an endorsement by the authors or McGraw-Hill Education, and McGraw-Hill Education does not guarantee the accuracy of the information presented at these sites.

## About the Authors

**Samuel Walker** Dr. Samuel Walker is Professor Emeritus at the University of Nebraska at Omaha, where he taught for 31 years before retiring in 2005. He is the author of 14 books on policing, criminal justice policy, and civil liberties. He continues to write and consult in the area of police accountability, with a special interest in police early intervention systems and federal litigation against police misconduct.

**Charles Katz** Dr. Charles Katz is the Watts Family Director of the Center for Violence Prevention and Community Safety and is a Professor in the School of Criminology and Criminal Justice at Arizona State University. Dr. Katz earned his Ph.D. in Criminal Justice from the University of Nebraska at Omaha in 1997. He is coauthor of *Policing Gangs in America* (published by Cambridge University Press) and numerous articles on policing and gangs. He is currently working with several large metropolitan police agencies evaluating programs and practices.

## Contents in Brief

Preface XVI

PART FO	undations 1
1	Police and Society 2
2	
3	The Contemporary Law Enforcement Industry 70
PART II Of	ficers and Organizations 101
	Police Organizations 102
	Police Officers I: Recruitment and Training for
6	a Changing Society 130 Police Officers II: On the Job 166
PART III PO	lice Work 211
_	Patrol: The Backbone of Policing 212
-	Peacekeeping and Order Maintenance 250
•	The Police and Crime 282
10	Advances in Police Strategy 324
PART IV IS	sues in Policing 367
11	Police Discretion 368
12	Legitimacy and Police—Community Relations 404
13	Police Corruption 454
14	Accountability of the Police 488
PART V CH	allenges for a New Century 543

**15** The Future of Policing in America 544

Glossary 569 | Name Index 581 | Subject Index 584

## Contents

Preface XVI

### **Foundations 1**

CHAPTER 1 Police and Society 2

The Goals of This Book 3

Why Do We Have Police? 3

#### A Framework for Understanding the Police and Policing 4

A Democratic Police 5 Democracy and Accountability 5

#### A Legitimate Police 6

Procedural Justice 7 Practices That Build Legitimacy 8 Legitimacy and Police—Public Interactions 8 Legitimacy, Trust, and Race Relations 9

#### An Open and Transparent Police 10

Practices That Create Openness and Transparency 11

#### An Accountable Police 12

Police Accountability: Goals and Methods 12 Accountability on Police Use of Force 12 Collecting and Analyzing Data on Use of Force 14 Accountability in Routine Police—Public Contacts 15 Training to Prevent Bias in Police Activities 15 Independent Investigations and Review of Critical Incidents 16

#### An Effective Police 17

The Complex Responsibilities of the Police 17 Ineffective Strategies for Controlling Crime and Disorder 18 Effective Strategies for Controlling Crime and Disorder 21

Partnerships with the Public 21

A Special Case: The Police and the Mentally III 22

A Special Case: The Police and Juveniles 23 Research and Policing: Evidence-Based Programs 23 Summary 24 Key Terms 25

For Discussion 25 Internet Exercises 25

#### CHAPTER **2** The History of the

American Police 28

### Flashback: Moments in American Police History 29 The First American Police Officer 29 Flash Forward: 1950 29

#### Why Study Police History? 29

#### The English Heritage 30

Creation of the Modern Police: London, 1829 31

#### Law Enforcement in Colonial America 32

The Quality of Colonial Law Enforcement 32

#### The First Modern American Police 33

## The "Political Era" in American Policing, 1830s-1900 34

A Lack of Personnel Standards 35 Patrol Work in the Political Era 35 The Police and the Public 36 Corruption and Politics 37 Immigration, Discrimination, and Police Corruption 38 The Failure of Police Reform 39 The Impact of the Police on Crime and Disorder 40

#### The Professional Era, 1900—1960 40

The Police Professionalization Movement 41 The Reform Agenda 41 The Achievements of Professionalization 42 Other Impacts of Professionalization 43 Police and Race Relations 44 New Law Enforcement Agencies 44

#### **Technology Revolutionizes Policing** 45

#### New Directions in Police Administration, 1930—1960 47

The Wickersham Commission Bombshell 47 Professionalization Continues 47 Simmering Racial and Ethnic Relations 48 J. Edgar Hoover and the War on Crime 48

#### The Police Crises of the 1960s 49

The Police and the Supreme Court 49 The Police and Civil Rights 51 The Police in the National Spotlight 52 The Research Revolution 53

#### New Developments in Policing, 1970—2016 55

The Changing Police Officer 55 Administrative Rulemaking and the Control of Police Discretion 56 The Emergence of Police Unions 57 The Spread of Citizen Oversight of Police 57 Community Policing, Problem-Oriented Policing, and Other Innovations 58 Data-Driven Policing 60 Racial Profiling and Discrimination 60 Federal Investigations of Police Misconduct 61 Local Police and the War on Terrorism 62 The National Police Crisis. 2014—2016 63 CASE STUDY: De-escalating Police—Citizen **Encounters 63** Summary 64 Key Terms 65 For Discussion 65 Internet Exercises 65

#### CHAPTER **3** The Contemporary Law Enforcement Industry 70

#### Basic Features of American Law Enforcement 71

An "Industry" Perspective 71 An International Perspective 72

#### Size and Scope of the Law Enforcement Industry 73

The Number of Law Enforcement Agencies 73 The Number of Law Enforcement Personnel 74 Understanding Law Enforcement Personnel Data 74 Civilianization 75 The Police—Population Ratio 75 The Cost of Police Protection 75

#### The Fragmentation Issue 76

Alternatives to Fragmentation 77 The Fragmentation Problem Reconsidered 79

#### Municipal Police 80

County Police 80

#### The County Sheriff 81

The Role of the Sheriff 81

#### Other Local Agencies 82

The Constable 82 The Coroner/Medical Examiner 82 Special District Police 83 Tribal Police 83 State Law Enforcement Agencies 85

#### Federal Law Enforcement Agencies 86

Federal Law Enforcement after September 11, 2001 86

#### The Private Security Industry 90

#### Minimum Standards: American Style 93

The Role of the Federal Government 93 The Role of State Governments 93 Accreditation 94

#### CASE STUDY: The Fraser/Winter Park (CO) Police Department 94

Summary 96 Key Terms 96 For Discussion 96 Internet Exercises 96

## PART || Officers and Organizations 101

#### CHAPTER 4

#### Police Organizations 102

#### The Quasi-Military Style of Police Organizations 103

Criticisms of the Quasi-Military Style 103

#### Police Departments as Organizations 105

The Dominant Style of American Police Organizations 105

Police Organizations as Bureaucracies 105

The Problems with Bureaucracy 108

The Positive Contributions of Bureaucracy in Policing 108

Informal Aspects of Police Organizations 108

#### Bureaucracy and Police Professionalism 110

#### Changing Police Organizations 110

Community Policing 110

Task Forces 112 COMPSTAT 113

#### **Civil Service 115**

#### Police Unions 116

Aspects of Police Unions 116

Collective Bargaining 117

Grievance Procedures 117

Impasse Settlement and Strikes 117

The Impact of Police Unions 120

#### Police Organizations and Their Environment 122

Contingency Theory 122 Institutional Theory 122 Resource Dependency Theory 123

CASE STUDY: COMPSTAT in Chicago 124

Summary 125

Key Terms 125

For Discussion 125

Internet Exercises 126

#### CHAPTER 5

#### Police Officers I: Recruitment and Training for a Changing Society 130

#### The Changing American Police Officer 131

What Kind of Police Officer Do We Want? And for What Kind of Policing? 131 The Police Personnel Process 132 A Career Perspective 133 Beyond Stereotypes of Cops 133 The Personnel Process: A Shared Responsibility 134 Recruiting Police Officers 134 What Kind of Job? What Kind of Person? 135 Minimum Qualifications 135 The Recruitment Effort 139 Choosing Law Enforcement as a Career 139 Applicants' Motivations 139 Obstacles to Recruitment 140 Testing and Selecting Applicants 141 Selection Tests 141 Background Investigations 142 Predicting Police Officer Performance 142 Achieving Diversity in Police Employment 143 The Goals of Diversity 143 The Law of Equal Employment Opportunity 144 "Not Your Father's Police Department": Diversity in Policing 144 Women in Policing 146 **Employment Discrimination Suits** 147 The Impact of Increased Diversity 149 Police Training: Progress and New Challenges 149 New Thinking about Policing and Training 150 The Police Academy 150 Training on the Use of Force 152 Tactical Decision-Making 153 Scenario-Based Training 153 Fragmented and Inconsistent Training 154 The Consequences of Inadequate Training 154

Training on Unconscious Bias 155 Training on Procedural Justice 155 Field Training 155 In-Service Training 156 Training of Supervisors 157

#### The Probationary Period 157

CASE STUDY: Improving Training for Domestic Violence Incidents: A Problem-Oriented Approach 158

Summary 159 Key Terms 159 For Discussion 160 Internet Exercises 160

#### CHAPTER **6** Police Officers II: On the Job 166

#### Reality Shock: Beginning Police Work 168

Encountering Citizens 168 Encountering the Criminal Justice System 169 Encountering the Department 169

#### Starting Out on the Job 170

Impact of the Seniority System 170

#### The Concept of a Unique Police Subculture 172

The Original Concept 172

The Capacity to Use Force as a Defining Feature of Policing 174

The Dangers of Policing: Potential versus Actual 175 Conflicting Work Demands 177

#### New Perspectives on a Complex and Changing Police Subculture 178

## The Changing Rank and File: The Impact of Diversity 179

The Impact of Women Police Officers on the Police Subculture 179

Women Officers on Patrol Duty 181

Female versus Male Officers: Differences in Misconduct Issues 181

Sexual Harassment on the Job 182

African American Officers 182

African American Officers on the Job 183

Hispanic Officers 183

Gay and Lesbian Officers 184

The Intersection of Gender, Race, Ethnicity, and Sexual Identity 185

Does Diversifying a Department Change the Police Subculture? 186

Rising Levels of Police Officer Education 186

Cohort Effects on Performance 187

Organizational Effects on Attitudes and Performance 187

Attitudes toward Community Policing 188

#### The Relationship between Attitudes and Behavior 189

#### Styles of Police Work 189

#### Moving through Police Careers 190

Salaries and Benefits 190

Career Development 191

Promotion 191

Assignment to Special Units 192

Lateral Entry 193

Outside Employment 193

#### Performance Evaluations 194

Traditional Performance Evaluations 194 Problems with Performance Evaluations 195

#### Job Satisfaction and Job Stress 196

The Sources of Job Satisfaction 196 The Sources of Job Stress 197 Job Stress and Suicide 198 Community Policing and Job Satisfaction 199 Coping with Job Stress 200 **The Rights of Police Officers 200** 

#### Turnover: Leaving Police Work 202

Decertification 203 Summary 203 Key Terms 204 For Discussion 204 Internet Exercise 204

## PART III Police Work 211

#### CHAPTER **7** Patrol: The Backbone of Policing 212

#### The Central Role of Patrol 213

#### The Functions of Patrol 214

#### The Organization and Delivery of Patrol 214

Factors Affecting the Delivery of Patrol Services 214 Number of Sworn Officers 214 Assignment to Patrol 216 The Distribution of Patrol Officers 216 Assignment of Patrol Officers 218 "Hot Spots" 218 Types of Patrol 218 Foot Patrol 219 One-Officer versus Two-Officer Cars 219 Staffing Patrol Beats 220

#### Styles of Patrol 220

Individual Styles 220 Supervisors' Styles 221 Organizational Styles 221

## Patrol Supervision: The Role of the Sergeant 222

#### The Communications Center 223

The Nerve Center of Policing 223 911 Systems 223 Processing Calls for Service 224 Operator—Citizen Interactions 226

#### The Systematic Study of Police Patrol 226

Standards for Systematic Social Observation 226

#### The Call Service Workload 228

The Volume of Calls 228 Types of Calls 228

#### Aspects of Patrol Work 230

Response Time 230 Officer Use of Patrol Time 231 Evading Duty 232 High-Speed Pursuits 232

#### The Effectiveness of Patrol 233

Initial Experiments 233 The Kansas City Preventive Patrol Experiment 234

Findings and Implications of the Kansas City Experiment 235 The Newark Foot Patrol Experiment 236 New Questions, New Approaches 237 Improving Traditional Patrol 237 Differential Response to Calls 237 Telephone Reporting Units 238 311 Nonemergency Numbers 238 Non-English 911 Call Services 239 Reverse 911 239 Computers and Video Cameras in Patrol Cars 239 Police Aides or Cadets 240 Directed Patrol and Hot Spots 241 Customer Feedback 242 Beyond Traditional Patrol 242 CASE STUDY: The Philadelphia Foot Patrol Experiment by Jerry Ratcliffe et al. 242 Summary 244 Key Terms 245 For Discussion 245 Internet Exercises 245

#### CHAPTER **8** Peacekeeping and Order Maintenance 250

The Police Role 251 Calling the Police 252 Public Expectations 252 Police Response 252 Traffic Enforcement 253

Drunk-Driving Crackdowns 255

#### Policing Domestic Disputes 256

Defining Our Terms 256 The Prevalence of Domestic Violence 257 Calling the Police 257

#### Police Response to Domestic Disturbances 258

Factors Influencing the Arrest Decision 259 A Revolution in Policy: Mandatory Arrest 260 The Impact of Arrest on Domestic Violence 260 Impact of Mandatory Arrest Laws and Policies 262 Other Laws and Policies 262 The Future of Domestic Violence Policy 263

#### Policing Prostitution 263

#### Policing the Homeless 266

Policing the Mentally III 267

Police Response to the Mentally III 268 Old Problems/New Programs 269

#### Policing People with HIV 271

#### Policing Juveniles 272

Controversy over the Police Role 273 Specialized Juvenile Units 273 On-the-Street Encounters 274 The Issue of Race Discrimination 275 Crime Prevention Programs 275

CASE STUDY: Responding to Chronically Inebriated Individuals in Seattle, Washington 276

Summary 276 Key Terms 277 For Discussion 277 Internet Exercises 277

#### CHAPTER **9** The Police and Crime 282

#### The Police and Crime 283

Crime Control Strategies 283 Crime Control Assumptions 284 Measuring Effectiveness 285

#### Preventing Crime 285

#### Apprehending Criminals 286

Citizen Reporting of Crime 286 Reporting and Unfounding Crimes 288

#### Criminal Investigation 289

Myths about Detective Work 289 The Organization of Detective Work 290

### The Investigation Process 291 The Preliminary Investigation 291 Arrest Discretion 291 Follow-Up Investigations 291 The Reality of Detective Work 292 Case Screening 292 Measuring the Effectiveness of Criminal

#### Investigation 293 The Clearance Rate 293

Defining an Arrest 294

#### Success and Failure in Solving Crimes 295

Case Structural Factors 295 Organizational Factors 296 Environmental Factors 297 Officer Productivity 297 The Problem of Case Attrition 298

#### The Use of Eyewitness Identification, Criminalistics, and DNA in Investigations 298

Eyewitness Identification 298 Criminalistics 299 DNA 299

## Improving Criminal Investigations 300

Special Investigative Techniques 301 Undercover Police Work 301 Informants 302

#### Policing Drugs 303

Drug Enforcement Strategies 303 Minorities and the War on Drugs 304 The Special Case of Marijuana 305 Demand Reduction: The D.A.R.E. Program 306

#### Policing Gangs and Gang-Related Crime 306 Gang Suppression 307

Gang Prevention: The G.R.E.A.T. Program 308

#### Policing Career Criminals 308

Policing Guns and Gun Crimes 309 Gun Suppression 309

#### Policing Hate Crime 311

The Scope and Nature of Hate Crime 311 The Police Response to Hate Crime 312

#### Policing and Terrorism 313

The Scope and Nature of Terrorism 313 Domestic Terrorism 313 Foreign Terrorism 314 Responding to Terrorism 314

CASE STUDY: Untested Evidence in Law Enforcement Agencies 316 Summary 318 Key Terms 318 For Discussion 318

Internet Exercises 318

#### CHAPTER 10 Advances in Police Strategy 324

#### Impetus for Change in Policing 325

#### The Roots of Community Policing: The Broken Windows Hypothesis 326

Types of Disorder 327

#### Characteristics of Community Policing 327

Community Partnerships 329 The Effectiveness of Community Partnerships 332 Organizational Change 333 Evidence of Organizational Change 335 Problem Solving 336

#### Pulling It All Together: Implementing Community Policing at the Departmental Level 337

Chicago Alternative Policing Strategy (CAPS) Program 337

#### Community Policing: Problems and Prospects 342

A Legitimate Police Role? 342 A Political Police? 342 Decentralization and Accountability 343 Impact on Poor and Minority Communities 344 Conflicting Community Interests 344 But Does Community Policing Work? 344

#### The Roots of Problem-Oriented Policing 345

#### The Problem-Solving Process 347

Scanning 348 Analysis 349 Response 349 Assessment 349

#### Effectiveness of Problem-Oriented Policing 349

Problem-Oriented Policing in Newport News 349 Problem-Oriented Policing in San Diego 351 The Boston Gun Project: Operation Cease Fire 351 The Future of Problem-Oriented Policing 352

#### Characteristics of Zero-Tolerance Policing 353

#### The Effectiveness of Zero-Tolerance Policing 355

Zero-Tolerance Policing in New York City 355 Operation Restoration 357 Potential Problems with Zero-Tolerance Policing 357 But Does Zero Tolerance Policing Work? 359

#### CASE STUDY: Using Social Media as a Virtual Form of Neighborhood Watch in Sacramento, California 360

Summary 360 Key Terms 361 For Discussion 361 Internet Exercises 361

## PART IV Issues in Policing 367

CHAPTER **11** 

Police Discretion 368

#### Discretion in Police Work 369

A Definition of Discretion 370

#### New Perspectives on Police Discretion 370

A Short History of the Study of Police Discretion 370

A Richer Understanding of Police—Citizen Encounters 371

Potential Abuse of Discretion 372

Positive Uses of Discretion 373

### Decision Points and Decision Makers 374

Patrol Officers' Decisions 374

Detectives' Decisions 375

Police Managers' Decisions 375

#### **Underlying Sources of Police Discretion 375**

The Nature of the Criminal Law 375 Conflicting Public Expectations 376 Social and Medical Issues 377 The Work Environment of Policing 377

Limited Police Resources 378

#### Factors Limiting Patrol Officer Discretion 379

Legal Factors 379 Administrative Factors 379

Organizational Culture Factors 380

#### Factors Influencing Discretionary Arrest Decisions 380

Situational Factors 380 Organizational Factors 384 Social and Political Factors 385

#### The Control of Discretion 385

The Need for Control 385 Abolish Discretion? 386 Enhancing Professional Judgment 387 Informal Bureaucratic Controls 387

#### Administrative Rulemaking: Controls through Written Policies 388

Examples of Administrative Rulemaking 388 Principles of Administrative Rulemaking 390 Contributions of Written Rules 390 The Impact of Administrative Rulemaking 392 Ensuring Compliance with Rules 392 Codifying Rules: The Standard Operation Procedure Manual 394 Systematic Rulemaking 395 Citizen Oversight and Policymaking 396 The Limits of Administrative Rulemaking 396 **CASE STUDY: "Broken Windows" and Police Discretion 397**  *Summary 398 Key Terms 398 For Discussion 398* 

Internet Exercises 399

#### CHAPTER **12**

Legitimacy and Police—Community Relations 404

#### From Police—Community Relations to Legitimacy 405

The National Police Crisis, 2014—2016 405 Legitimacy and Procedural Justice 406

#### The Many Communities in Police-Community Relations 407

Understanding Race and Ethnicity 408 Official Data on Race and Ethnicity 408 The Major Racial and Ethnic Groups 409

#### Public Opinion about the Police 411

Factors that Affect Public Opinion about the Police 411 The Impact of Controversial Incidents 414

#### Additional Perspectives on the Police in American Society 415

The Police and American Society 415 The Police and Other Occupations 415 The American Police in International Perspective 416 Police Officer Perceptions of Citizens 417

#### Police—Citizen Interactions: Sources of Police—Community Relations Problems and Loss of Legitimacy 418

The Level of Neighborhood Police Protection 419 Delay in Responding to 911 Calls 420 Police Use of Deadly Force 420 Unconscious Bias and Police Use of Deadly Force 422 Use of Physical Force 423 Patterns in Officer Use of Force 424 Stops and Frisks 425 Arrests 426 Arrests and the War on Drugs 427 The Complex Interaction of Demeanor, Race, and Arrests 427 David Kennedy on the "Racial Divide" 428 Unconscious Bias, Stereotyping, and Arrests 429 Verbal Abuse and Racial and Ethnic Slurs 430 Traffic Enforcement and Racial Profiling 430

xii

Building Legitimacy and Improving Police-**Community Relations** 436 The Different Dimensions of Trust and Confidence in the Police 436 Engaging the Community 438 Perspective: The Failure of the Police—Community Relations Unites in the 1960s 439 Ending Police Misconduct 440 Engaging Immigrant Communities 441 Immigration and Cultural Barriers in Policing 442 Language Barriers in Policing 442 A Representative Police Force 443 Citizen Oversight of the Police 444 Assign Officers on the Basis of Race or Ethnicity? 444 Do Citizens Care about the Ethnicity of the Officer? 445 Special Training over Race and Ethnicity 445 Summary 446 Key Terms 446

Key Terms 446 For Discussion 447 Internet Exercises 447

CHAPTER 13 Police Corruption 454

A Definition of Police Corruption 455 The Costs of Police Corruption 456 Types of Corruption 458

Gratuities 458 Bribes 458 Theft and Burglary 460

Sexual Misconduct 461

Sexual i liscolluuct 401

Internal Corruption 463

Corruption and Brutality 463

#### Levels of Corruption 464

Pervasiveness of Corruption within a Police Organization 465

#### Theories of Police Corruption 466

Individual Officer Explanations 466 Social Structural Explanations 466

Neighborhood Explanations 468 The Nature of Police Work 468 The Police Organization 469 The Police Subculture 469 Becoming Corrupt 470 The Moral Careers of Individual Officers 470 Corrupting Organizations 471 Controlling Corruption 471 Internal Corruption Control Strategies 472 The Attitude of the Chief 472 Rules and Regulations 472 Managing Anticorruption Investigations 473 Investigative Tactics 474 Cracking the "Blue Curtain" 475 Proactive Integrity Tests 475 Effective Supervision 476 Rewarding the Good Officers 476 Personnel Recruitment 476 Field Training 478 External Corruption Control Approaches 479 Special Investigations 479

Criminal Prosecution 479 Mobilizing Public Opinion 482 Altering the External Environment 482 The Limits of Anticorruption Efforts 482

CASE STUDY: Hurricane Katrina and the New Orleans Police Department 483

Summary 483 Key Terms 484 For Discussion 484 Internet Exercises 484

#### CHAPTER 14 Accountability of the Police 488

#### What Do We Mean by Police Accountability? 489

The Dilemmas of Policing in a Democracy490A Historical Perspective on Accountability490

#### Accountability for What the Police Do 491

The Traditional Approach to Measuring Police Effectiveness 491

Alternative Measures and Their Limitations 492 COMPSTAT: A Neighborhood-Focused Approach 494

#### Accountability for *How* the Police Do Their Job 494

#### Internal Mechanisms of Accountability 495

Routine Supervision of Patrol Officers 495 Coaching, Mentoring, Leading, and Helping 498 Organizational Culture and Accountability 498 Command-Level Review of Force Incidents: The Emerging Standard 499 Corrective Action: Informal and Formal 500 Performance Evaluations 500

#### Internal Affairs/Professional Standards Units 501

The Discipline Process 502 Appropriate Levels of Discipline 503 Openness and Transparency for Disciplinary Actions 504 Standards for Investigating Citizen Complaints 504 Using Discipline Records in Personnel Decisions 505

The "Code of Silence" 505

#### Early Intervention Systems 506

Officers with Performance Problems 506 The Nature and Purpose of an EIS 507 Performance Indicators and Thresholds 507 Interventions for Officers 509 The Multiple Goals of an EIS 510

The Effectiveness of an EIS 511 Risk Management and Police Legal Advisors 511 Accreditation for Law Enforcement Agencies 512 The Nature of Accreditation 512 Pros and Cons of Accreditation 513 External Mechanisms of Accountability 513 Guiding the Police through the Political Process 513 The Courts and the Police 514 Federal "Pattern or Practice" Suits 518 The Collaborative Reform Approach: An Alternative to Litigation 522 Injunctions to Stop Patterns of Police Misconduct 423 Criminal Prosecution of Police Officers 523 Citizen Oversight of the Police 524 Blue-Ribbon Commissions 527 The Digital Revolution and Police Accountability 527 The News Media as a Police Accountability Mechanism 528 Public Interest Groups and Accountability 529

#### Accountability and Crime Control: A Trade-Off? 530

#### Conclusion: A Mixed Approach to Police Accountability 531

CASE STUDY: Policing Los Angeles under a Consent Decree: The Dynamics of Change at the LAPD: Executive Summary 532

Summary 533 Key Terms 534 Internet Exercises 534

## PART V Challenges for a New Century 543

#### CHAPTER 15 The Future of Policing in America 544

#### Police Technology 545

Major Technology Applications 545 The Use of Technology in the Field 548 The Future of Police Information Technology 552 Technologically Advanced Weapons 553

#### Crime Analysis 554

Types of Crime Analysis 554 Crime Mapping 555

#### The Outlook for Police Employment 556

Opportunities in Local, County, and State Law Enforcement 557

Local, County, and State Salaries 558

Opportunities in Federal Law Enforcement 558 Federal Salaries 558

#### The Future of Police Research 559

Does Research Do Any Good? 559 Politics and Research 560 Police Practitioner—Researcher Relationships 560 The Future of Federal Support for Research 561

#### Impact of the War on Terrorism 561

Role Expansion 562 Racial and Ethnic Profiling 562 Personnel Challenges 562 Role Change 563

CASE STUDY: Evaluating the Impact of Officer-Worn Body Cameras in Phoenix, Arizona, Project Focus 564 Summary 565 Key Terms 566 For Discussion 566

Internet Exercises 566

Glossary 569 | Name Index 581 | Subject Index 584

## Preface

*The Police in America: An Introduction* provides a comprehensive introduction to the foundations of policing in the United States today. Descriptive and analytical, the text is designed to offer undergraduate students a balanced and up-to-date overview of who the police are and what they do, the problems they face, and the many reforms and innovations that have taken place in policing. The book is designed primarily for undergraduates enrolled in their first police or law enforcement course—such as an introduction to policing, police and society, or law enforcement systems.

### Changes in the Ninth Edition

The ninth edition of *The Police in America: An Introduction* has undergone extensive revision. In response to reviewer feedback, we have not only updated all of the statistical information but also provided new examples of several important issues throughout the book. We have also included coverage of the latest research and practices in policing. Some of the most important changes we have made for the ninth edition are as follows:

- Chapter 1, "Police and Society" has been completely revised to use the President's Task Force on 21st Century Policing as a framework for understanding the police in America,.
- Chapter 2, "The History of the American Police," has been expanded to include discussion of the national police crisis of 2014–2016 and its impact.
- Chapter 3, "The Contemporary Law Enforcement Industry," has been revised and updated to include the most current data of law enforcement organizations.
- Chapter 4, "Police Organizations," has been revised to include the most important new research on law enforcement organizations.
- Chapter 5, "Recruitment and Training for a Changing Society," has been completely revised to incorporate the important new developments related to police training.
- Chapter 6, "Police Officers II: On the Job," includes a completely revised discussion of the police officer subculture and its impact on police officer behavior.
- Chapter 7, "Patrol: The Backbone of Policing," was revised to include the latest research on innovations in police patrol.
- Chapter 8, "Peacekeeping and Order Maintenance," has been expanded to include the latest research on policing traffic, domestic violence, and other social problems.
- Chapter 9, "The Police and Crime," has been extensively revised to include the latest research on policing gangs, drugs, and terrorism.

- Chapter 10, "Advances in Police Strategy" has been revised to include new perspectives on the goals and effectiveness of recent police innovations.
- Chapter 11, "Police Discretion," was revised to include new perspectives on the complexity of officer exercise of discretion.
- Chapter 12, "Legitimacy and Police-Community Relations," has been revised to incorporate the new interest in and reforms related to legitimacy because of the national police crisis, 2014–2016.
- Chapter 13, "Police Corruption," has been revised to incorporate new perspectives and research on police corruption.
- Chapter 14, "Accountability of the Police," has been extensively revised to include material and the full range of both internal and external accountability mechanisms.
- Chapter 15, "The Future of Policing in America," has been updated to include discussions of the latest developments related to technology, employment, police research and terrorism.

#### **Overview of the Contents**

Part I, "Foundations," provides students with an introduction to policing in America. It explains the role of the police in the United States, along with the realities of police work and the many factors that shape policing. It also traces the history of the police from the creation of the first modern police department through the many new developments that can be found in policing today. The section concludes with a discussion of the characteristics of the contemporary law enforcement industry, including a section on the Department of Homeland Security.

Part II, "Officers and Organizations," begins with an explanation of the characteristics of police organization, the role and influence of police unions, and a discussion of the theoretical rationales for why police organizations behave the way they do. It also includes an explanation of police recruitment, selection, and training practices, as well as a discussion of the characteristics of American police officers. The section covers the reality shock that officers encounter when beginning their job, the concept of police culture, and the relationship between the attitudes of the police and the behavior of the police.

Part III, "Police Work," includes explanations of what the police do and how they do it. Among the subjects covered are the functions of patrol, the delivery of services, and the effectiveness of traditional policing strategies. This section also discusses the various problems that the police face while on the job and the strategies they use to respond to these problems. The section closes with a discussion of advances in police strategy, such as community policing, problem-oriented policing, and zero-tolerance policing.

Part IV, "Issues in Policing," covers the various problems that police officers and police organizations encounter. The chapter on police discretion explains the nature of police discretion, sources of discretion, and how police organizations have attempted to control discretion. The section also includes a chapter on legitimacy and police–community relations. Attention is placed on citizen perceptions of the police, police perceptions of citizens, and sources of police–community relations problems. Special emphasis is placed on race and ethnicity and its implications for policing in the United States. This section includes chapters on police corruption and police accountability, which discuss different types of police misbehavior and the strategies used to hold the police accountable.

Part V, "Challenges for a New Century," concludes the book with a chapter on the future of policing in America.

#### Pedagogy

A number of learning devices are included to make the text easier to teach and, for students, easier to learn, enlivening the material with practical, concrete examples and applications:

- Boxes called "Police in Focus" discuss a series of important issues in policing. This feature is designed to highlight particularly important points and can serve as the basis for class discussion. In each case, references are provided for students who want to pursue the issue further.
- Sidebars throughout the book expound on important concepts and feature contemporary issues related to the chapter.
- Cross-reference icons direct students to material elsewhere in the text that can further illuminate chapter topics.
- Chapter-opening outlines guide students through each chapter.
- Key terms are highlighted in the margins, boldfaced in the text, listed at the end of the chapter, and defined in a comprehensive glossary at the end of the book.
- End-of-chapter case studies—real-world examples that highlight major concepts or ideas from each chapter—enable students to begin to apply what they have learned.
- "Internet Exercises" at the end of each chapter can be used by students for further web-based study.
- "For Discussion" questions at the end of each chapter can be used to stimulate classroom discussion.

### connect

The ninth edition of *The Police in America: An Introduction* is now available online with Connect, McGraw-Hill Education's integrated assignment and assessment platform. Connect also offers SmartBook for the new edition, which is the first adaptive reading experience proven to improve grades and help students study more effectively. All of the title's website and ancillary content is also available through Connect, including:

- An Instructor's Manual for each chapter.
- A full Test Bank of multiple choice questions that test students on central concepts and ideas in each chapter.
- Lecture Slides for instructor use in class.



Required=Results

## McGraw-Hill Connect<sup>®</sup> Learn Without Limits

Connect is a teaching and learning platform that is proven to deliver better results for students and instructors.

Connect empowers students by continually adapting to deliver precisely what they need, when they need it, and how they need it, so your class time is more engaging and effective.

73% of instructors who use **Connect** require it; instructor satisfaction **increases** by 28% when **Connect** is required.

## Analytics<sup>.</sup>

## Connect Insight<sup>®</sup>

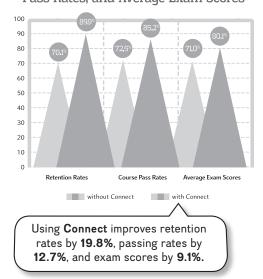
Connect Insight is Connect's new one-of-akind visual analytics dashboard—now available for both instructors and students—that provides at-a-glance information regarding student performance, which is immediately actionable. By presenting assignment, assessment, and topical performance results together with a time metric that is easily visible for aggregate or individual results, Connect Insight gives the user the ability to take a just-in-time approach to teaching and learning, which was never before available. Connect Insight presents data that empowers students and helps instructors improve class performance in a way that is efficient and effective.

## Mobile -

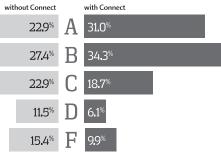
Connect's new, intuitive mobile interface gives students and instructors flexible and convenient, anytime–anywhere access to all components of the Connect platform.



Connect's Impact on Retention Rates, Pass Rates, and Average Exam Scores



#### Impact on Final Course Grade Distribution



Students can view their results for any **Connect** course.

A Dand Ochotoma		TO DI
•	LATE Acounting week 1 quiz ETABEL 12/1 - DUEL 12/4 - ACCOUNTING EECTION 1	PRACTICE
Assignments	LETT CH 02 - Guiz Intermediate	ourz
coate	PRE LATE Chapter 4 BYARTI 1217 - DUBI 12177 - ECONOMICS 101	ROMEWORK
	Ch 05. En cese: Woodvalerio DWEI: 12/22 - PUNTOS SPANISH 101 - SECTION 001	LS
	CH 05 States of Canadioanness STARE: 12/12 - DUE: 12/23 - PSYCHOLODY 101 - SECTION 1A	HOMEWORK
	Guit « Extra Credit STARE: 12/18 - DUE: 12/24 - PSYCHOLOBY 131 - SECTION 1A	QUIZ
onnect	RECHARGE Ch 02. En la aniversidad: Vocabulario DWE: 12/7 - PENTOS SPANISH 101 - SECTION 001	u

## Adaptive



## THE **ADAPTIVE READING EXPERIENCE** DESIGNED TO TRANSFORM THE WAY STUDENTS READ

More students earn **A's** and **B's** when they use McGraw-Hill Education **Adaptive** products.

## SmartBook<sup>®</sup>

Proven to help students improve grades and study more efficiently, SmartBook contains the same content within the print book, but actively tailors that content to the needs of the individual. SmartBook's adaptive technology provides precise, personalized instruction on what the student should do next, guiding the student to master and remember key concepts, targeting gaps in knowledge and offering customized feedback, and driving the student toward comprehension and retention of the subject matter. Available on tablets, SmartBook puts learning at the student's fingertips—anywhere, anytime.

Over **8 billion questions** have been answered, making McGraw-Hill Education products more intelligent, reliable, and precise.

#### www.mheducation.com

## SMARTBOOK<sup>®</sup>

# 95%

of students reported **SmartBook** to be a more effective way of reading material.



of students want to use the Practice Quiz feature available within **SmartBook** to help them study.



of students reported having reliable access to off-campus wifi.



of students say they would purchase **SmartBook** over print alone.



of students reported that **SmartBook** would impact their study skills in a positive way.



Findings based on 2015 focus group results administered by McGraw-Hill Education

#### Acknowledgments

Samuel Walker would like to thank his colleagues and friends in the world of policing and police accountability in particular. Special thanks go to former student and now friend and professional colleague Charles Katz for being a great coauthor. Charles did the bulk of the work on this, the ninth edition, and Sam is very appreciative of that.

Charles Katz would like to thank the many people who have contributed to the completion of this edition and to acknowledge his colleagues at Arizona State University, who have always been supportive and who have been willing to lend a helpful hand when asked. Special thanks, too, to four people in particular: to Charles's parents and his wife Keri, who have always been loving and supportive (this book, and his other work, is just as much a result of their dedication and efforts as his own), and to his coauthor Sam Walker. Sam has always been supportive, whether it be professionally or personally, and his insights continue to influence Charles today.

Samuel Walker Charles M. Katz



© David Frazier/Getty Images

## Foundations

CHAPTER

- CHAPTER **1** Police and Society
  - **2** The History of the American Police
- CHAPTER **3** The Contemporary Law Enforcement Industry



© David Frazier/Getty Images

## **Police and Society**

#### **CHAPTER OUTLINE**

The Goals of This Book Why Do We Have Police? A Framework for Understanding the Police and Policing A Democratic Police Democracy and Accountability

#### A Legitimate Police

Ч

СНАРТ

Procedural Justice Practices That Build Legitimacy Legitimacy and Police—Public Interactions

Legitimacy, Trust, and Race Relations

#### An Open and Transparent Police

Practices That Create Openness and Transparency

#### An Accountable Police

- Police Accountability: Goals and Methods
- Accountability on Police Use of Force
- Collecting and Analyzing Data on Use of Force
- Accountability in Routine Police— Public Contacts
- Training to Prevent Bias in Police Activities

Independent Investigations and Review of Critical Incidents

#### **An Effective Police**

The Complex Responsibilities of the Police Ineffective Strategies for Controlling Crime and Disorder Effective Strategies for Controlling Crime and Disorder Partnerships with the Public A Special Case: The Police and the Mentally III A Special Case: The Police and Juveniles Research and Policing: Evidence-Based Programs Summary Key Terms For Discussion Internet Exercises

#### The Goals of This Book

*The Police in America* provides a comprehensive picture of policing in the America. It describes what police do (see Chapter 7); the different problems that arise; the decisions that officers make; and who those officers are, including who applies to be police officers and how they are selected. It also covers important issues in day-to-day policing, such as police patrol and how it has changed over the years (Chapter 7), police officer exercise of discretion (Chapter 11), and legitimacy and community relations (Chapter 12). Police personnel issues include how police officers are selected, the demographic profile of police officers today (Chapter 5), the factors that shape officer behavior (Chapter 6), and how police organizations operate (Chapter 4). Chapter 2 examines the history of policing in America and how traditions that were created many decades ago continue to influence policing today.

Before we begin, in this chapter we provide a framework for understanding the police in America. The framework that follows is adapted from the *Final Report of the President's Task Force on 21st Century Policing*. The Task Force was the first-ever presidential commission or task force devoted exclusively to the police. The *Final Report* brought together all the best current thinking about the police in America today.

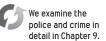
### Why Do We Have Police?

Why do we have police? What purpose do they serve? What do we want them to do? What do they do that other government agencies do not do? How do we want them to do these things? How do we make sure they do what we want? What do we do if they engage in misconduct?

These are all basic questions related to the role of police in society. Most Americans think they know what the police are: They are the officers who patrol the street where they live. Why do we have them? Most people would answer that they are there to fight crime and protect us.

Unfortunately, the answers most people give are too vague and simplistic. Policing is extremely complex.<sup>1</sup> The police have multiple responsibilities involving controlling crime, maintaining order, and providing miscellaneous services to the public. Even the idea of "fighting crime" is complex. Which crimes? There is an old cliché that says, "if the police enforced all the laws on the books, we would all be in jail."

The police solve this dilemma by using their discretion not to enforce all the laws all the time. People stopped by an officer while driving are often let go with a warning, even though they were speeding. But do the police make good decisions when not enforcing the law? There are no easy answers to this question. We examine police discretion in detail in Chapter 11.



The task of maintaining order is just as complex. What exactly do we mean by "order"? One person's idea of disorder is their neighbor's idea of a fun party. One group's idea of an offensive protest march is another group's idea of freedom of speech and assembly, protected by the First Amendment. When does a protest cross the line? When it blocks the entrance to a building? Day-in and day-out, the police make difficult decisions about these problems. We discuss order maintenance in detail in Chapter 8.

What do we want the police to do to accomplish their tasks? When asked, most people say they want more police patrols in their neighborhood. But is that the most effective way to control crime? As we will learn in this book, adding more police patrols to what already exists does not reduce crime.<sup>2</sup> There are other alternatives, innovations that have developed in recent years that are effective and represent "smart policing."

What should we do when police officers do things that are improper? What is the proper remedy to a fatal officer-involved shooting that appears unjustified? Many people think we should leave the investigation and discipline of such incidents to the police. After all, don't they know best? Many other people disagree strongly with that view. They don't believe the police are capable of fairly investigating themselves, and they want independent external review of officer conduct. As we will learn in this book, this is a bitterly contested political issue, and the debate over it continues today. We cover police accountability in detail in Chapter 14.

Finally, it is difficult to define the kind of organization that a police department or law enforcement agency represents. The answer may seem obvious, but it is not. There are literally thousands of police departments in the United States, including 15,388 local departments.<sup>3</sup> City police and county sheriff's departments have different roles and responsibilities, and significant differences exist in the responsibilities of county sheriff's departments. State law enforcement agencies, meanwhile, also vary in many important respects. Some are limited entirely to highway patrol. Others have general law enforcement responsibilities. Some are independent state agencies, while some others are branches of the state attorney general's office. Federal agencies all have very specific missions, defined by federal law. The Federal Bureau of Investigation (FBI) is the principal federal law enforcement agency, but the Drug Enforcement Agency (DEA) and Immigration and Customs Enforcement (ICE) have specific responsibilities, as well.

#### A Framework for Understanding the Police and Policing

The issues surrounding policing are extremely complex. To make sense of them, we use the 2015 report of the **President's Task Force on 21st Century Policing** as a useful framework for understanding the basic principles of good policing. In a series of public hearings around the country, the Task Force learned about all the best new ideas in policing and incorporated them into its final report.<sup>4</sup>

The Task Force's framework addressed the following issues: a democratic police, a legitimate police, an open and transparent police, an accountable police, and an effective police. These key principles are closely linked and reinforce each other.

For a discussion of the different local, state, and federal law enforcement agencies, see Chapter 3.

President's Task Force on 21st Century Policing

4

#### A Democratic Police

The United States is a democracy, which means that the people ultimately control the agencies of government. This includes the police. In totalitarian societies, the people have no control over law enforcement agencies. If they are not happy with what the police are doing, there is nothing they can do about it. Police in totalitarian societies are also not governed by the rule of law; they only follow the dictates of the supreme ruler. **Democracy and the police** means that the police are both answerable to the people and accountable to the rule of law.

In the United States, mayors appoint police chiefs, and city councils provide the budget. Governors appoint the head of state police agencies, and state legislators appropriate their budgets. The president of the United States appoints the directors of federal law enforcement agencies: the directors of the FBI and the DEA, and all the other federal agencies. Congress appropriates their budgets.

The political control of the police, while an essential part of democracy, raises a number of difficult problems. For many years in history, elected officials used the police for personal or political benefit, appointing their friends as police officers and using the police to protect illegal drinking and gambling (see Chapter 2). We call that "politics."<sup>5</sup> Making sure that the police are responsive to the public but are not used for improper purposes is a major challenge for the American police.

The President's Task Force made a number of recommendations to ensure that the police are responsive to the people they serve. These recommendations include holding regular public meetings with residents of the community (Recommendation 4.5.1); conducting surveys of the public they serve (Recommendation 1.7); making official policies and procedures publicly available, on their websites; and establishing some form of civilian (citizen) oversight of the police (Recommendation 2.8).

#### **Democracy and Accountability**

Public control of the police has its dangers, however, and there have been many instances in our history when those dangers became tragic realities. The worst case involves policing in the southeastern United States, during both the slave era and Reconstruction, when the police and the entire criminal justice system were used to maintain a racial caste system, put in place by duly elected white majorities.<sup>6</sup> That system was formally dismantled during the civil rights era, through a combination of court rulings upholding the Fourteenth Amendment's guarantee of Equal Protection of the Law and federal civil rights laws.

In the rest of the country, local majorities supported "get tough on crime" practices by the police that violated standards of due process. The Supreme Court curtailed these practices with decisions affirming constitutional guarantees against unreasonable searches and seizures (*Mapp v. Ohio*) and the right to an attorney during police investigations (*Miranda v. Arizona*). In the wake of the events in Ferguson, Missouri, in 2014, a federal investigation found that elected city officials were using the police to generate revenue to support the city's budget.<sup>7</sup> The result was a pattern of heavy-handed law enforcement, particularly with regard to traffic tickets, that violated the Fourteenth Amendment and created a serious problem with police–community relations, which erupted in riots in August 2014.

### democracy and the police

For a discussion of the history of politics and the police, see Chapter 2.





#### Justice Department Investigations of Local Police Departments

**S** ince 1997, the Civil Rights Division of the U.S. Justice Department has investigated and reached settlements with about 25 local police departments. The settlements are in the form of a "consent decree" or a "settlement agreement." There has been great controversy over this program. Community activists argue that it is a necessary and effective means of correcting systemic police misconduct. Critics charge that the federal government is overstepping its authority. Others argue that the resulting consent decrees or settlement agreements are too expensive. Finally, the police and local authorities argue that there were no systemic patterns of police abuse in the first place.

Let's take a look at the Justice Department program. Both the initial investigations and the resulting settlements are available on the website of the Special Litigation Section (visit http://www.justice.gov/crt/ conduct-law-enforcement-agencies; scroll down and click on "Cases and Matters"; look for the state and then the case name or police department). Some of the important settlements involve Seattle, New Orleans, Cleveland, and Ferguson, Missouri. Let's examine these documents in terms of the following issues:

- What legal authority does the Justice Department have to investigate a local police department? The rationale is always stated in the first pages of the investigation letter or the settlement agreement. Does the Justice Department have the authority to investigate a police department because it has failed to control crime? To put it another way, is incompetence and mismanagement a violation of federal law?
- What policies or practices by a police department constitute violation of federal civil rights law? What kind of police conduct constitutes a "pattern or practice" of the

violation of the rights of local residents? Pick one or more settlements and review the document quickly. Does the Justice Department make a persuasive case that a *pattern or practice* of police misconduct exists?

- What kinds of reforms do the settlements or consent decrees require? What reforms are intended in terms of how a police department controls its officers' use of force? Are there any changes in the responsibilities for sergeants? If so, what are they now supposed to do?
- What aspects of the consent decrees or settlements are consistent with the elements of the framework discussed in this chapter? Is there anything that is likely to promote legitimacy? Or achieve greater openness and transparency? What reforms are likely to enhance the accountability of officers?
- Many of the settlements require police departments to establish an early intervention system (EIS). What exactly is an EIS? How is it supposed to hold police officers accountable for their actions?
- What kinds of changes to a police department's training program are required by settlements or consent decrees?
- How long does a consent decree or settlement last? In your opinion, is this too long, and unfair to the local department, or is it not long enough to accomplish the necessary reforms?
- In your opinion, are the reforms required by federal consent decrees or settlement agreements likely to increase the department's effectiveness in responding to crime and disorder? Or are they likely to interfere with effective crime-fighting and the control of disorder? Explain.

### **A Legitimate Police**

The police in a democracy need to be legitimate.<sup>8</sup> **Legitimacy** means more than just the police following the rule of law. It means that the people they serve have trust and confidence in them: trust that comes from respectful treatment; trust that the police are conducting themselves in a lawful manner; and confidence that they are controlling

#### legitimacy

crime and disorder effectively. The President's Task Force recommended that "[*l*]*aw* enforcement culture should embrace a guardian mindset to build public trust and legitimacy. Toward that end, police and sheriff's departments should adopt procedural justice as the guiding principle for internal and external policies and practices to guide their interactions with citizens they serve" (Recommendation 1.1).

The "guardian" mindset is the opposite of the "warrior" mindset, in which police officers see their work as combat and too often view members of the public as the "enemy." When the police view people as the enemy, they are less likely to be responsive to their needs and more likely to use force when it is not necessary. Sue Rahr, a member of the President's Task Force, explained that in 2012 her staff at the Washington State Criminal Justice Training Commission "began asking the question, 'Why are we training police officers like soldiers?'" Even though police officers wear uniforms and are authorized to use firearms, they have very different roles. Rahr further explained that "[t]he soldier's mission is that of a warrior: to conquer. The rules of engagement are decided before the battle. The police officer's mission is that of a guardian: to protect. The rules of engagement evolve as the incident unfolds. Soldiers must follow orders. Police officers must make independent decisions. Soldiers come into communities as an outside, occupying force. Guardians are members of the community, protecting from within."<sup>9</sup>

Rahr's observation touches on all of the issues we discuss in this chapter. A guardian mindset involves cultivating trust and legitimacy in the police, being open and transparent about police activities, holding both the organization and individual officers accountable, and, finally, adopting the recognized best practices from around the country in order to be effective in controlling crime and maintaining order.

#### **Procedural Justice**

**Procedural justice** is now recognized as an essential guiding principle for good policing. The theory of procedural justice developed out of the field of social psychology. It holds that, for example, in dealing with an organization, people are concerned not just with what happens to them but also with how they are treated. In policing, this means the difference between getting a traffic ticket (the substantive outcome) and how the officer acted: for example, being rude, being polite, not answering the person's questions, explaining the reason for the stop, and so on. Research consistently finds that people notice how they are treated by police officers and that it makes a difference to them. In Chicago, Wesley Skogan found that 80 percent of whites expressed a "favorable" attitude about whether the police "clearly explained why they wanted to talk with them," but only 48 percent of African Americans and 63 percent of English-speaking Hispanics expressed a similar attitude.<sup>10</sup> Not only do people notice and remember how the police treat them, but there are large racial and ethnic gaps in those perceptions. We examine the legitimacy of the police further in Chapter 12.

Tom Tyler's research has found that when people have a sense of procedural justice, they are more likely to obey the law.<sup>11</sup> Consequently, the President's Task Force concluded that "[d]ecades of research and practice support the premise that people are more likely to obey the law when they believe that those who are enforcing it have authority that is perceived as legitimate by those subject to the authority.

procedural justice

The public confers legitimacy only on those whom they believe are acting in procedurally just ways. In addition, law enforcement cannot build community trust if it is seen as an occupying force coming in from outside to impose control on the community."<sup>12</sup>

What procedural justice teaches us, then, is not only that the police have the responsibility for controlling crime but also that their activities, when done properly, can have the effect of promoting law-abiding behavior. The police don't just keep the peace; they build the peace in our communities.

#### Practices That Build Legitimacy

There are many ways in which the police can build trust and legitimacy. These steps, moreover, do not interfere with crime control efforts, and in fact, as we will explain, they can help to enhance effective crime control.

The President's Task Force recommended that "[*i*]*n* order to achieve external legitimacy, law enforcement agencies should involve the community in the process of developing and evaluating policies and procedures" (Action Item 1.5.1). When community residents understand a police department's policies on the handling of domestic violence incidents, the treatment of homeless people, and the use of officer body-worn cameras, they will feel more confident that the police are handling each of these situations properly, and this will help to build greater trust in the police. As we will see shortly, many steps designed to build trust and legitimacy include the department's taking steps to provide greater openness and transparency regarding its operations.

If people do not feel that their police departments have a sound policy for handling domestic violence incidents, for example, there should be opportunities for them to voice their concerns to the department. To this end, the President's Task Force recommended that "[l]aw enforcement agencies should schedule regular public forums and meetings where all community members can interact with police and help influence programs and policy" (Recommendation 4.5.1). Such public events give community members a chance to express their concerns and have a constructive dialogue with high-ranking police officials, which helps to build trust and legitimacy.

The effectiveness of community meetings, of course, depends on how they are conducted. If they are completely controlled by police officials in charge of the meeting, with only limited opportunity for members of the public to voice their concerns, then they will likely be counterproductive. In their study of the Chicago community policing effort CAPS (Chicago Alternative Policing Strategy), which had an extensive program of neighborhood meetings with local residents, Wesley Skogan and Susan Hartnett observed that "[m]aking [police] beat meetings work was hard." The four most commonly discussed issues were drug dealing, "youth problems," traffic enforcement, and "police disregard for citizens." In the end, the meetings "created important opportunities for participation" by neighborhood residents.<sup>13</sup>

#### Legitimacy and Police-Public Interactions

Trust in the police and legitimacy depend very much on how police officers interact with people in routine encounters: traffic stops, 911 disturbance calls, neighborhood problems, and so on. Procedural justice research has found that it is important for officers to treat people with respect, regardless of who they are or their condition.



**Respectful policing** includes the police introducing themselves, explaining the reason they are there (the reason for a traffic stop, for example), listening to people, and answering their questions.

It is extremely important that police officers speak respectfully to people. There has been a long and unfortunate tradition of rude and offensive language by police officers, including offensive racial and ethnic epithets. Almost 40 years ago, the Kerner Commission, which had been appointed to study the urban riots of the 1960s, found that "verbal discourtesy" occurred in 15 percent of all encounters between officers and community residents.<sup>14</sup> The problem continues today. To address this problem, the President's Task Force recommended that "*[b]ecause offensive or harsh language can escalate a minor situation, law enforcement agencies should underscore the importance of language used and adopt policies directing officers to speak to individuals with respect*" (Recommendation 4.4.1).

As we will explain shortly, prohibiting offensive language is also an important accountability measure, a means of holding officers to a high standard of performance when dealing with people in the community. We discuss this subject again in the section on accountability, where we emphasize the point that *all* procedures designed to enhance accountability by controlling officer misconduct have a direct impact on legitimacy.

One police practice that offends the public and undermines trust and legitimacy involves formal or informal department quotas that require officers to write a certain number of traffic tickets or make a certain number of arrests each month or year. Quotas are also wrong in principle since they require officers to write tickets or make arrests they would not otherwise make. The President's Task Force recommended that the police "should refrain from practices requiring officers to issue a predetermined number of tickets, citations, arrests or summons, or to initiate investigative contacts with citizens for reasons not directly related to improving public safety, such as generating revenue" (Recommendation 2.8).

The most serious case of the abuse of quotas was exposed in the 2015 Justice Department report on Ferguson, Missouri, site of the August 2014 shooting of Michael Brown, an unarmed African American, by a white police officer.<sup>15</sup> The city of Ferguson was using the police department as a source of revenue to meet the annual budget, pressuring the department to write traffic tickets, for example, to generate fines. As a result, the massive enforcement of minor offenses had the effect of creating a sense of oppression among African Americans in the community.

#### Legitimacy, Trust, and Race Relations

Building trust and legitimacy requires that a police department have a workforce that is representative of the community, in terms of race, ethnicity, and gender. The President's Task Force recommended that "[*l*]*aw enforcement agencies should strive to create a workforce that contains a broad range of diversity including race, gender, language, life experience, and cultural background to improve understanding and effectiveness in dealing with all communities*" (Recommendation 1.8). In the 1960s, the lack of African American officers in major city departments undermined trust and was a contributing factor to the riots of the period. The city of Cleveland, for example, was 34 percent African American, but only 7 percent of the officers were African American.<sup>16</sup>



#### respectful policing