



# Welcome to the National Smart Policing Initiative Meeting Day 1

*February 7-8, 2012 - Alexandria, VA*



# Welcome and Opening Remarks

Michael Medaris, *BJA Senior Policy Advisor*  
James "Chip" R. Coldren, Jr., *SPI Project Director*

February 7, 2012

# Meeting Goals

- ❖ Reinforce the Smart Policing philosophy
- ❖ Address important matters regarding research for results
- ❖ Address important matters regarding SPI coordination and leadership
- ❖ Impart more information about key Smart Policing concepts
- ❖ Re-assess project plans
- ❖ Reinforce the notion of a “Smart Policing Community”
- ❖ Develop Web content (podcasts)

# Meeting Agenda: Day 1

- ❖ 8:30-9:00 Welcome/ Opening Remarks / Review of Meeting and Day 1 Goals
- ❖ 9:00-10:00 Smart Policing: The Concept
- ❖ 10:00-10:45 Lesson: Conducting Research in Police Organizations
- ❖ 10:45-11:00 Break and Podcasts
- ❖ 11:00-11:15 Overview: SPI Plan Assessment and Revision
- ❖ 11:15-12:00 Lesson: Innovation in Smart Policing
- ❖ 12:00-1:00 Lunch and Podcasts
- ❖ 1:00-2:45 Roundtables on Research/Analysis and Operations/Management
- ❖ 2:45-3:00 Remarks from Director Denise O'Donnell
- ❖ 3:00-3:15 Break and Podcasts
- ❖ 3:15-3:45 Team Collaboration Activity: Goals and Plans
- ❖ 3:45-4:45 Project Administration
- ❖ 4:45-5:00 Closing / Focus for Day 2

# Meeting Agenda: Day 2

- ❖ 8:00-8:30 Podcasts
- ❖ 8:30-9:30 SPI Website and Social Media
- ❖ 9:30-10:15 Lesson: Technology
- ❖ 10:15-10:30 Break and Podcasts
- ❖ 10:30-11:15 Peer-to-Peer Open Session
- ❖ 11:15-12:15 Lesson: Integration and Sustainability
- ❖ 12:15-1:15 Lunch
- ❖ 1:15-2:00 Team Collaboration Activity: Goals and Plans
- ❖ 2:00-2:15 Break and Podcasts
- ❖ 2:15-3:30 Collaboration Activity Wrap-Up
- ❖ 3:30-4:00 Engaging with CNA / Wrap-Up / Post Meeting Test and Evaluation





# Smart Policing: The Concept

Michael D. White, *CNA Subject Matter Expert and Glendale SPI Researcher*

February 7, 2012

# Objectives for this Session

- ❖ Review key concepts
- ❖ Presentations from two sites
  - ❖ Glendale, AZ (Phase I)
  - ❖ Lowell, MA (Phase II)

# Smart Policing Vision

- ❖ Vision = police organizations as ‘complete’ organizations
  - Strategic planning
  - Science, research, planning, analysis, and evaluation
  - Utilization of technology
  - Utilization of a variety of information resources
  - Better development and utilization of intelligence
  - Collaborate comprehensively
  - The “learning organization” = transparency, feedback, dynamic



# Smart Policing Initiative Goals

## ❖ Goals

- Identify police agencies to pilot and test innovative ideas regarding place-based, offender-based, and intelligence-led policing
- Support SPI sites through a comprehensive array of training and technical assistance resources

# Smart Policing Initiative Objectives

## ❖ Objectives

- Identify and fund police departments “ready” for Smart Policing, good candidates to innovate and test
- Provide training and information
  - National meetings
  - Webinars
  - Other products
- Monitor progress and difficulties

# Smart Policing Initiative Objectives

## ❖ Objectives

- Provide assistance
- Publish and disseminate information about the Smart Policing sites
- Maintain the Smart Policing website as a key vehicle for training, assistance, and dissemination

# Challenges for Smart Policing

- ❖ True innovation
- ❖ Research “results”
- ❖ Utilization of technology
- ❖ Sustainability
- ❖ Cost-effectiveness analysis
- ❖ Reaching multiple/important audiences with information about “results”

# The Glendale (AZ) Smart Policing Project

## The Problem:

### Crime and Disorder at Circle K Convenience Stores



# The Glendale (AZ) Smart Policing Project

## Rationale for Targeting this Problem:

1. Crimes clustered at Circle K locations
2. Potential to escalate into violence
3. Attracting more serious crime
4. Burden on police resources

## The Smart Policing Response:

Problem-Oriented Policing, SARA model

# SPI Training

January - April 2010

- ❖ Seven training sessions (20+ hours)
- ❖ Center for Problem-Oriented Policing - model curriculum
  - ❖ Some lecture
  - ❖ Group assignment - SARA steps
- ❖ Primary Objective - Identify the Problems
  - ❖ Circle K; Apartment Complexes

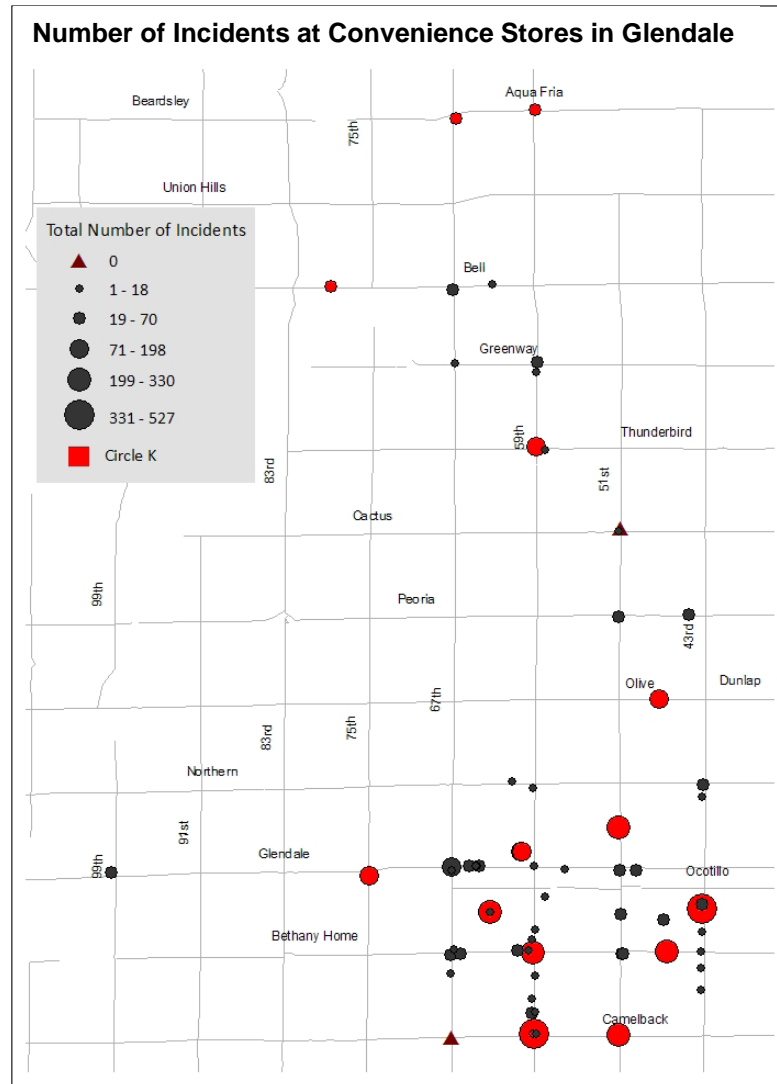


# Analysis: Circle Ks as the Top Locations

## Highest Generators of Calls for Service, 2008-2010, Glendale Convenience Stores

NAME	ADDRESS	TOTALS	2008	2009	2010
CIRCLE K	4306 W MARYLAND AVE	1,428	381	555	492
CIRCLE K	5880 W CAMELBACK RD	1,148	199	396	553
CIRCLE K	5907 W BETHANY HOME RD	1,062	201	524	337
CIRCLE K	5102 W CAMELBACK RD	1,020	304	434	282
CIRCLE K	7428 N 51ST AVE	918	323	322	273
CIRCLE K	6305 W MARYLAND AVE	880	273	331	276
CIRCLE K	4648 W BETHANY HOME RD	861	282	306	273
CIRCLE K	9002 N 47TH AVE	664	271	206	187
CIRCLE K	6002 W GRAND AVE	527	163	159	205
QT	6702 W GLENDALE AVE	402	127	149	126
7-11	6010 W BETHANY HOME RD	197	69	75	53
QT	5082 NW GRAND AVE	185	58	56	71

# Analysis: Circle Ks, Not Others



# Analysis

- ❖ Circle K stores
  - ❖ 23% of convenience stores
  - ❖ 79% of incidents at convenience stores
- ❖ Results of Scanning and Analysis
  - ❖ Circle K management practices are the core of the problem

# Smart Policing Responses

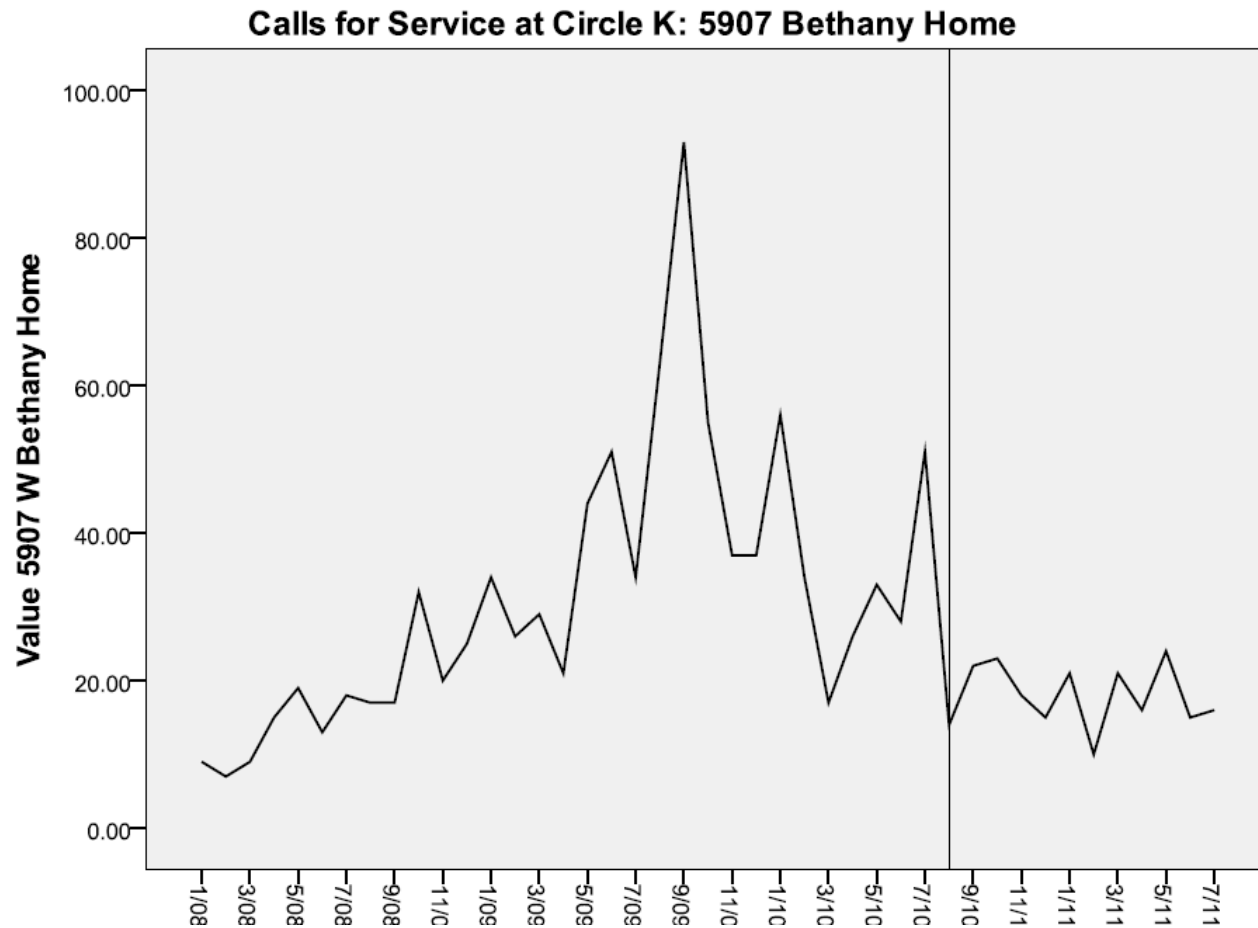
- ❖ Intervention with Circle K management
  - ❖ CPTED surveys (179 CPTED requests)
  - ❖ Meetings with management
- ❖ Prevention efforts directed at juveniles
- ❖ Targeted enforcement/suppression efforts
- ❖ Valley-wide Law Enforcement Working Group

# Impact on Calls for Service

Average Monthly CFS Year Before SPI and During SPI

Store location	8/09-7/10	8/10-7/11	Change
<b>SPI Circle K stores</b>			
❖ 4306 W Maryland	47.8 (574)	38.8 (465)	-9 (19% drop)
❖ 5880 W Camelback	43.4 (521)	44.3 (532)	--
❖ 5907 W Bethany Home	44.2 (530)	17.9 (215)	-26 (59% drop)
❖ 5102 W Camelback	30.4 (365)	21.1 (253)	-9 (31% drop)
❖ 7428 N 51st Ave	20.3 (243)	24.1 (289)	+4
❖ 4648 W Bethany Home	21.0 (252)	20.8 (249)	--
<b>Non-SPI Circle Ks</b>			
❖ 6305 W Maryland	26.8 (332)	17.2 (206)	-9
❖ 9002 N 47th Ave	16.1 (193)	13.1 (157)	-3
❖ 6937 N 75th Ave	14.5 (174)	17.4 (209)	+3
❖ 6002 W Grand Ave	14.2 (170)	18.2 (218)	+4
<b>Other</b>			
❖ QT: 6702 W Glendale	11.9 (143)	12.3 (148)	--
❖ QT: 5082 NW Grand Ave	4.1 (49)	5.4 (65)	+1
❖ 7-11: 6010 W Bethany Home	5.9 (71)	2.8 (33)	-2
❖ Shell: 6705 W Bethany Home	3.3 (40)	2.9 (35)	--
❖ AM/PM: 9920 W Glendale	4.2 (50)	2.5 (30)	-1

# Impact on Calls for Service

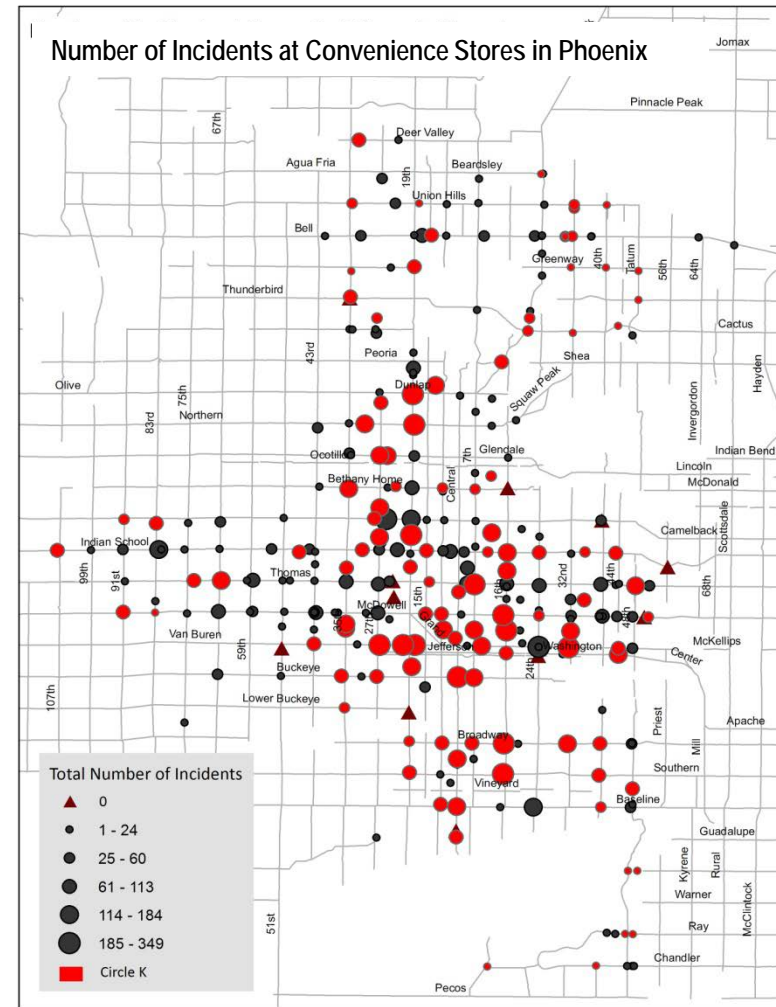
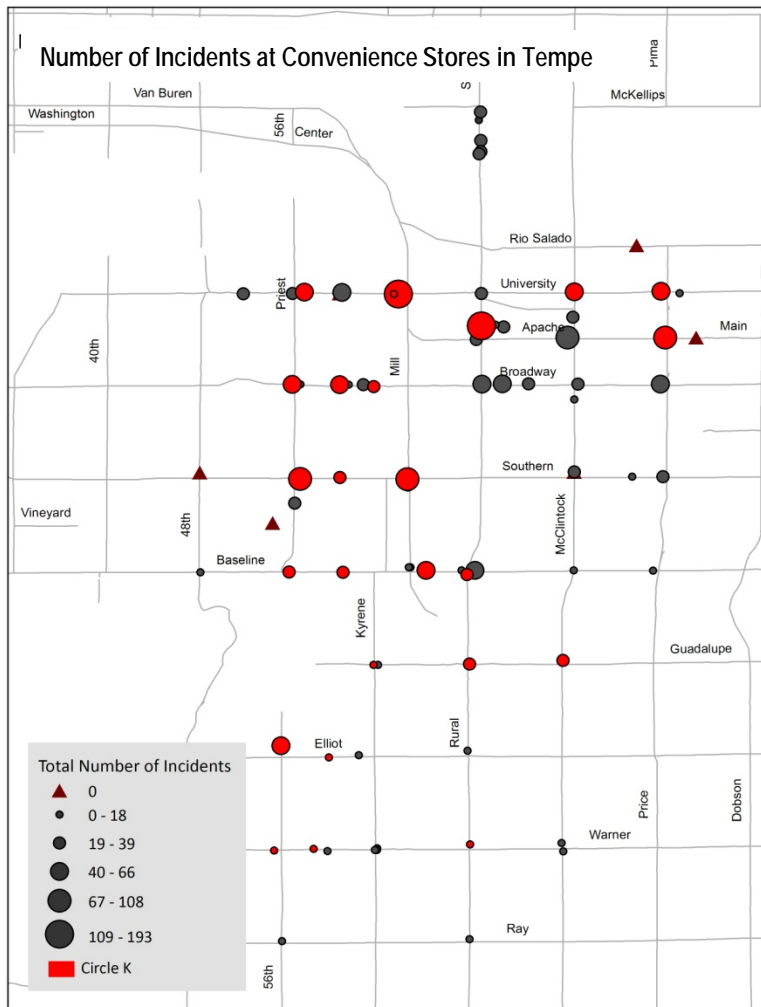




## A Multi-City Report on Crime & Disorder in Convenience Stores



# Not Just a Glendale Problem



# Role of the Researcher in Glendale

## Operational

- ❖ POP and SARA training
- ❖ Arrestee debrief interviews
- ❖ Assist with problem analysis
- ❖ Observed/participated in responses
- ❖ Assist with assessment

## Strategic

- ❖ Be an equal and committed partner
- ❖ Identify evidence-based and innovative responses
- ❖ Leveraging the resources and political clout of an 800-lb gorilla
- ❖ Sustainability

# Glendale Smart Policing Initiative

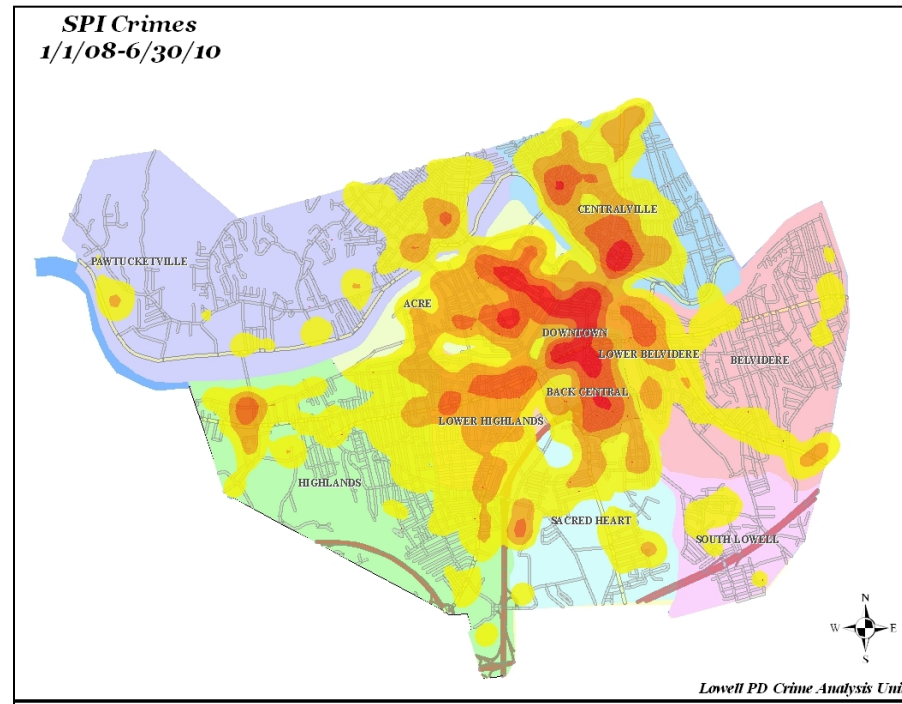
- ❖ Lt. Frank Balkcom
  - ❖ Reflections on the PD/Researcher partnership
  - ❖ The role of research and the researcher in the SPI
  - ❖ Addressing sustainability

# The Lowell (MA) Smart Policing Project

Lowell Police Department and Suffolk University

## The Problem:

Drug and drug-related property crime



# The Lowell (MA) Smart Policing Project

## Rationale for Targeting this Problem:

1. The Lowell Police Department recognized that the increase in property crimes, motor vehicle breaks, house breaks and larcenies were crimes effecting every neighborhood in the City. After conducting some research, it was discovered that the majority of the crimes were being committed by individuals addicted to drugs.

## The Smart Policing Response:

1. Placed-based strategy
2. Offender-based strategy
3. Organizational strategy

# Lowell Strategies

Placed-based Strategies	Offender-based Strategies	Organizational Strategies
Selected 12 hot spots for SPI intervention; 12 comparison spots	Created criteria for selecting approximately 25 Offenders of interest	Identify systems changes needed to support SPI
Identify nature & characteristics of crime in hot spot locations	Conduct home visits and interview key stakeholders to understand offender behavior	Create or modify policies or practices related to data collection, analysis and dissemination
Identify evidence-based strategies to use in interventions	Identify evidence-based strategies to use in interventions	Improve communication & coordination within LPD relative to SPI concepts and implementation
Explore new and innovative strategies based on evidence or promising practices	Establish and strengthen interagency partnerships for intervention and suppression	Focus on costs and resources utilized in SPI implementation
Conduct process and outcome evaluation	Conduct process and outcome evaluation	

# Role of the Researcher in Lowell

## ❖ Process

- ❖ Participate in place-based, offender-based and organizational strategy development
- ❖ Support selection and implementation of evidence-based practices
- ❖ Document strategies to capture “WHAT” took place and “WHY” in Lowell’s SPI
- ❖ Capacity-building - Work closely with LPD partners to identify and collect place-based, offender-based and organizational measures
- ❖ Utilize process evaluation to identify what seems to be working and what needs modification in SPI implementation

## ❖ Outcome

- ❖ Work closely with LPD partners to identify and collect place-based, offender-based and organizational measures to assess impact of SPI on outcomes of interest. Focus on building internal capacity

## ❖ Institutionalization

- ❖ Support LPD partners as they identify and implement changes needed to institutionalize SPI concepts (leading to SPI (2))



# Lessons learned so far in Lowell SPI

## Placed-based strategies (Sept - December 2011)

- ❖ A total of 15 different types of strategies employed across 12 hot spots
- ❖ Of those, 7 most frequently used (at least 3 times), were:
  - ❖ Increased/targeted traffic enforcement
  - ❖ Increased visibility via foot, bike, patrol
  - ❖ Efforts to reduce prostitution
  - ❖ Drug enforcement
  - ❖ Community/street corner meetings
  - ❖ Code investigations
  - ❖ Working with private businesses on target hardening
- ❖ Most frequent partners include:
  - ❖ External: City services (inspectional, neighborhood services; homeless shelter, public and private housing agencies; community groups)
  - ❖ Internal: Crime Analysts; Criminal Investigations; Community Response; Family Services

# Lessons learned *Cont'd*

## Offender-based strategies (Sept - December 2011)

- ❖ 4 different types of strategies have been used
  - ❖ Directing individuals to seek shelter or drug treatment
  - ❖ Drug investigations
  - ❖ Robbery investigations
  - ❖ Home visits and contacting offenders on the street and in the LPD
- ❖ Most frequent partners include:
  - ❖ External: Probation; Parole; Sheriff's Staff; Public Housing Agency
  - ❖ Internal: Crime Analysts; Criminal Investigations; Family Services

## Organizational strategies

- ❖ Changes in communication and coordination of SPI-types of crimes
- ❖ Changes in strategy (directed patrols; increase in field interviews)
- ❖ Changes in data collection & utilization (DHQ; Compstat; Weekly SPI meetings)
- ❖ New external partnerships (Lowell House Inc.)
- ❖ Implementation challenges are constant and plentiful!

# Mid-course outcome data

- ❖ Control Hot Spots VS Treatment Hot Spots
  - ❖ The data is showing some significant decreases in SPI targeted crimes in some of the control spots versus the treatment spots. However the data also shows decreases in 11 out of the 12 areas total.
  - ❖ The LPD Crime Analysis Unit along with the researcher are currently analyzing the data and the different strategies utilized in each area.
- ❖ Offender Based Outcomes
  - ❖ There have been two major success stories to date with our targeted offenders.
  - ❖ There have been some hurdles in ensuring that offenders that make it on the list are meeting the set criteria.
  - ❖ The offender list is currently being taken apart and rebuilt to confirm that everyone on the list meets the criteria.

# Practitioner perspective on relationship with researchers

- ❖ The strategies have been modeled after the hot spot experiment and the same processes are being utilized
- ❖ Reflection on evidence to support strategy - illustrating what strategies are being used and whether the evidence supports these strategies; also, identifies evidence-based practices
- ❖ Assistance with data analysis
- ❖ Assistance on organizational change strategy
- ❖ Outsider perspective, but with insider knowledge and experience; existing relationships within the department make it easier for department to accept suggestions and guidance
- ❖ Keeps the department's focus on point and has the ability to bring it back when we veer off course

SMART  
POLICING

Data. Analysis. Solutions.



**BJA**  
Bureau of Justice Assistance  
U.S. Department of Justice

# Lesson: Conducting Research in Police Organizations

*Making Police Crime Policy Research Relevant to Policy-Makers: 5 Pieces of Information All Researchers Should Give*

John Eck, *CNA Subject Matter Expert*

Discussants: Michael Scott, *CNA Subject Matter Expert*

Dr. Craig Uchida, *Los Angeles and Cambridge Research Partner*

February 7, 2012

This project was supported by Grant No. 2009-DG-BX-K021 awarded by the Bureau of Justice Assistance. The Bureau of Justice Assistance is a component of the Office of Justice Programs, which also includes the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime. Points of view or opinions in this document are those of the author and do not necessarily represent the official position or policies of the U.S. Department of Justice.

# Overview

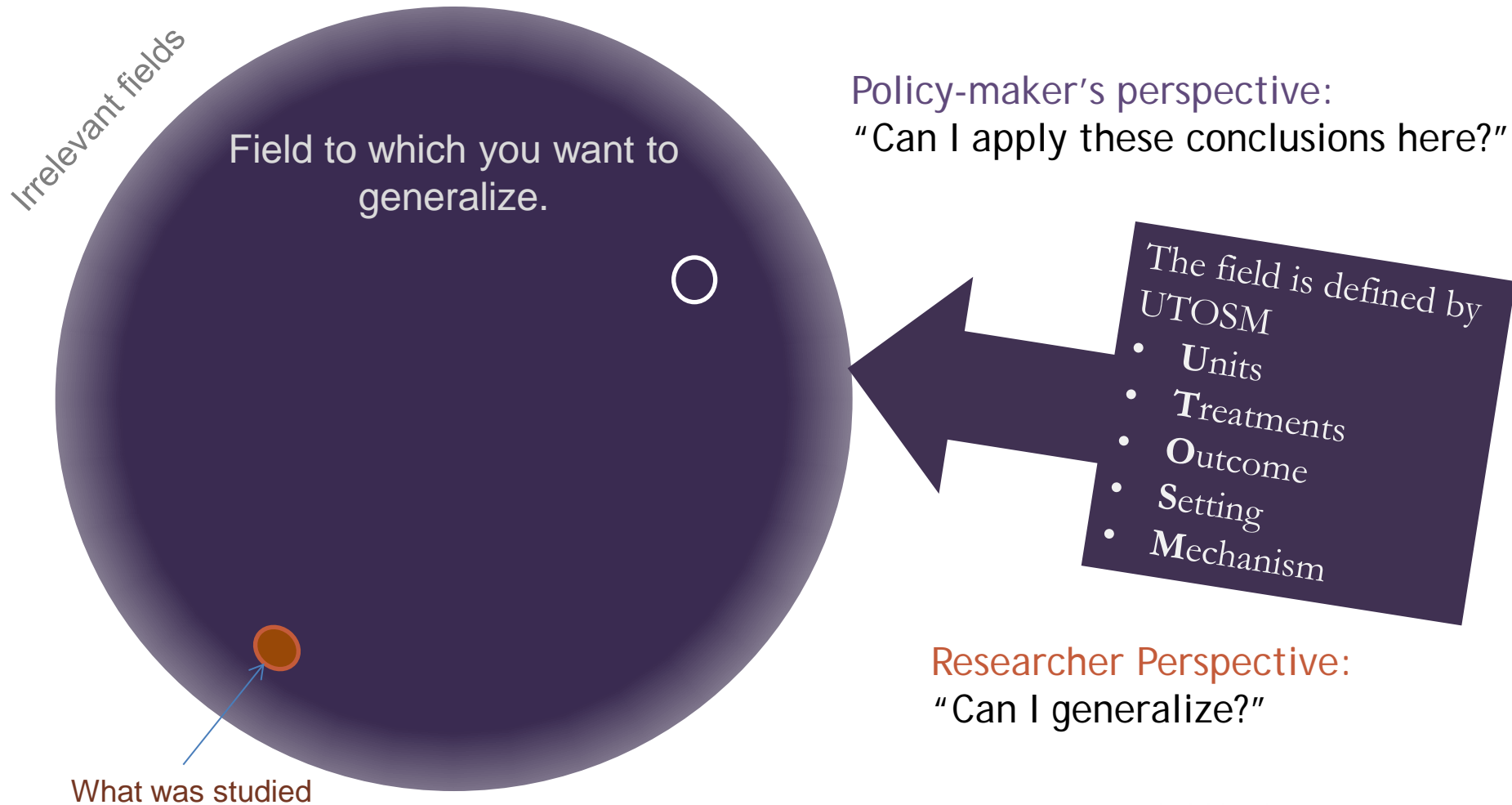
- ❖ Varieties of Research Validity
- ❖ External Validity: The Hardest Form of Truth
  - ❖ **U**nits
  - ❖ **T**reatments
  - ❖ **O**utcomes
  - ❖ **S**ettings
  - ❖ **M**echanism
- ❖ Conclusions

# Varieties of Research Validity

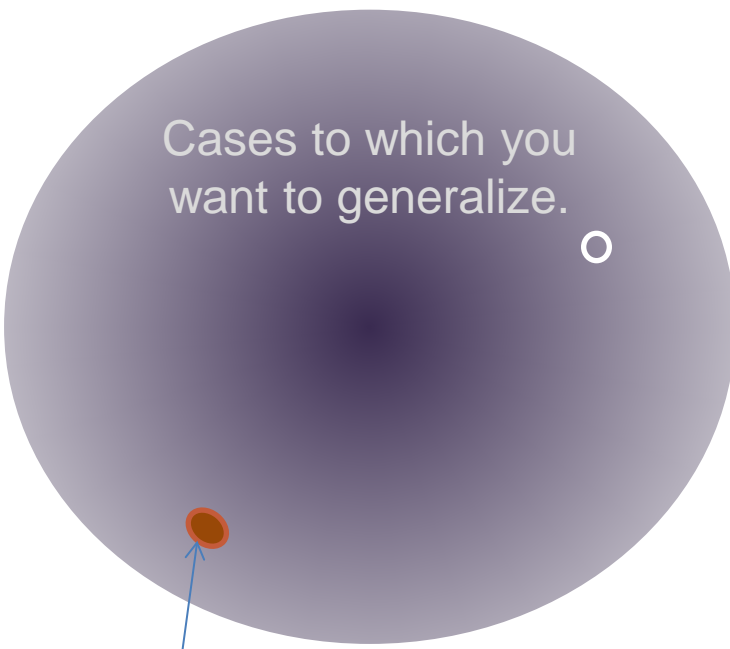
- ❖ **Construct validity** – data measures what you claim it measures
- ❖ **Statistical validity** – you used the correct procedures
- ❖ **Internal validity** – conclusions are valid for subjects and other conditions examined
- ❖ **External validity** – conclusions apply to other subjects and other conditions



# External Validity: Appropriate Generalization



# Units - Application to Other People and Places



Cases to which you want to generalize.

Cases that were examined

- ❖ Study was performed on a sample of cases.
- ❖ Do these cases represent the policy-maker's case?
- ❖ Cases include:
  - People (offenders, victims, officers, etc.)
  - Places (apartment buildings, street blocks, etc.)
  - Events (CFS, robberies, drug deals, etc.)
  - Other things

Did the researcher give the policy-maker sufficient information so that the PM can answer the question:

Will I get the same results on my cases?

# Treatments - Application to Other Actions

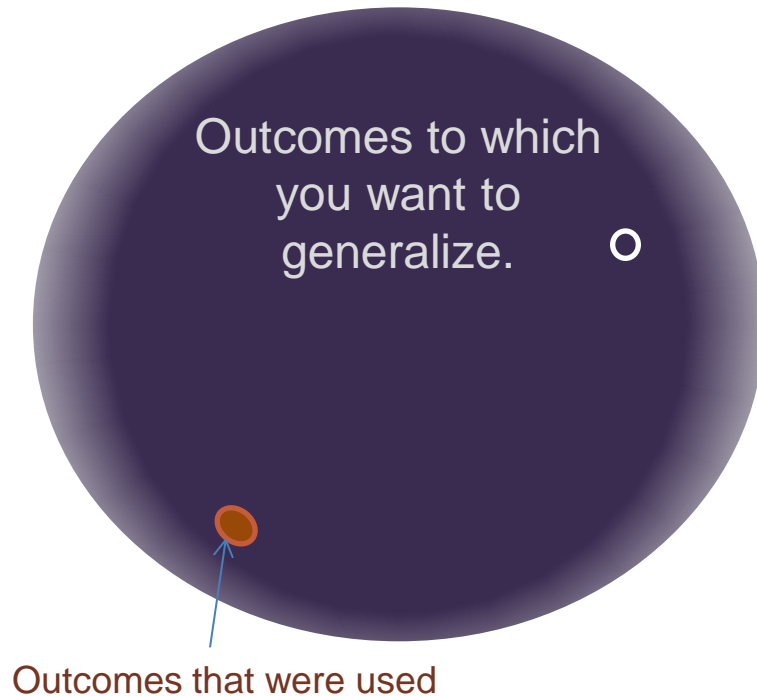


- ❖ Study was performed using specific treatments.
- ❖ Do these treatments represent the policy-maker's treatments?
- ❖ Treatments include:
  - LE actions (citations, arrests, etc.)
  - Laws (civil, criminal, etc.)
  - Training modes (lecture, hands-on, etc.)
  - Community interactions (meetings, cleanups, etc.)

Did the researcher give the policy-maker sufficient information so that the PM can answer the question:

Will I get the same results on my form of treatment?

# Outcomes - Applications to Other Measures

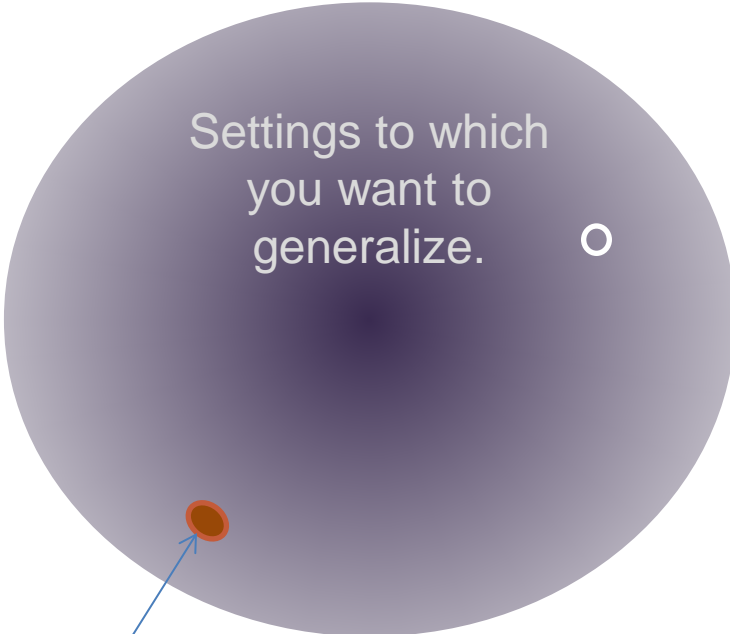


- ❖ Study was performed using specific outcome measures.
- ❖ Would policy-makers realize similar results with alternative measures?
- ❖ Outcomes include:
  - Reported crimes vs. victimization surveys
  - Phone surveys vs. internet surveys
  - Alternative crime types
  - Others

Did the researcher give the policy-maker sufficient information so that the PM can answer the question:

Will I get the same results with my outcome measures?

# Settings - Application in Other Jurisdictions



Settings to which  
you want to  
generalize.

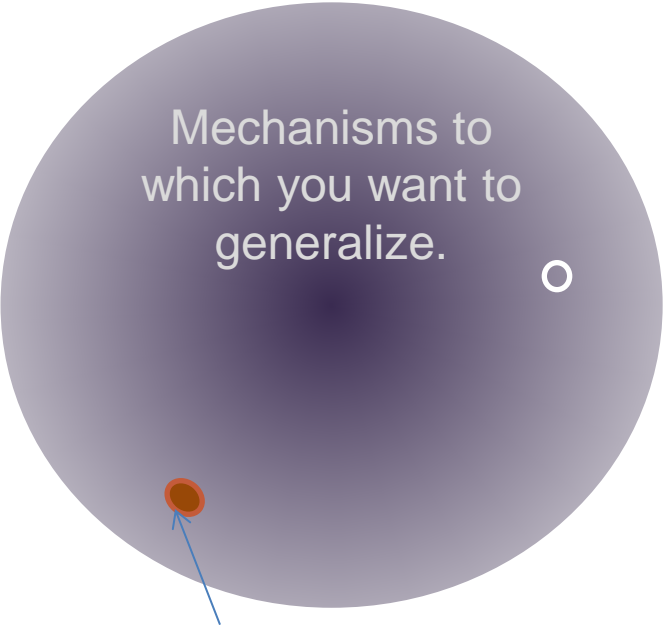
Setting that was used

- ❖ Study was performed with a particular setting.
- ❖ Would policy-makers realize similar results in a different setting?
- ❖ Settings include:
  - Neighborhood characteristics
  - Urban, suburban, or rural
  - State and local legal codes
  - Economic conditions
  - Other

Did the researcher give the policy-maker sufficient information so that the PM can answer the question:

Will I get the same results in  
my settings?

# Mechanism - Application to Other Processes



Mechanisms to which you want to generalize.



Mechanisms that were applied

- ❖ Study was performed triggering specific measures.
- ❖ Would policy-makers realize similar results if it triggered different mechanisms?
- ❖ Mechanisms include:
  - Specific deterrence of offenders
  - Increasing offender effort
  - Stimulating place management
  - Offender incapacitation
  - Creating informal surveillance
  - Other

Did the researcher give the policy-maker sufficient information so that the PM can answer the question:

Will I get the same results with my mechanisms?

# Conclusions

- ❖ Researchers usually worry about generalization. But *it's not their call!*
- ❖ Researchers need to provide sufficient information so that policy-makers can make the call.
- ❖ They should clearly describe their UTOSM.

See J.E. Eck. 2010. "Policy is in the Details: Using External Validity to Help Policy Makers." *Criminology and Public Policy*. 9(4): 859-866.



# Break

10:45-11:00

February 7, 2012

PODCAST: BOSTON (Birch) and CAMBRIDGE (Laurel)





# Overview: SPI Plan Assessment and Revision

James "Chip" R. Coldren, Jr., *CNA Project Director*

February 7, 2012

# Overview

- ❖ Key goal = assess and revise project plans based on this formal introduction to the Smart Policing Initiative
- ❖ Assumptions:
  - ❖ New information → new thinking, new perspectives
  - ❖ New thinking → adjustments in action plans
  - ❖ Adjustments need not be major
- ❖ Two opportunities for new thinking and new perspectives during this National Meeting:
  - ❖ Day 1 - 3:15-3:45
  - ❖ Day 2 - 1:15-2:00

# Meeting Goals and Agenda

- ❖ Meeting Goals:
  - ❖ Reinforce the Smart Policing philosophy
  - ❖ Address important matters regarding research for results
  - ❖ Address important matters regarding SPI coordination and leadership
  - ❖ Impart more information about key Smart Policing concepts
  - ❖ Re-assess project plans
  - ❖ Reinforce the notion of a “Smart Policing Community”

# Day 1 Assessment

- ❖ The Concept
- ❖ Research in Police Organizations
- ❖ Innovating
- ❖ Roundtable on researcher and analyst roles
- ❖ Roundtable on operation and management roles
  
- ❖ How has your participation in these sessions influenced your current thinking about your projects?

# Day 2 Assessment

- ❖ SPI website and social media
  - ❖ Technology
  - ❖ Peer-to-Peer session
  - ❖ Integration and Sustainability
- 
- ❖ How has your participation in these sessions influenced your current thinking about your projects?

# Template



## Smart Policing Initiative Plan

Site Name: \_\_\_\_\_

### Problem Statement:

---

---

---

---

- List any instigating or precipitating events:

---

---

---

---

- Note the sources of information initially used to analyze and define the problem, correlated and causal factors:

---

---

---

---

- Other potential sources of information not yet tapped:

---

---

---

---

- Define the role of the researcher, crime analyst(s) in collecting and analyzing data for a more refined problem statement, understanding:

---

---

---

---



### Site Goal(s):

1) \_\_\_\_\_

2) \_\_\_\_\_

3) \_\_\_\_\_

4) \_\_\_\_\_

5) \_\_\_\_\_

6) \_\_\_\_\_

### Key Innovation(s), potential innovations:

---

---

---

---

### How does your organization/partnership support innovation?

---

---

---

---



### Primary Project Strategies & Tactics:

---

---

---

---

---

---

SMART  
POLICING

Data. Analysis. Solutions.



**BJA**  
Bureau of Justice Assistance  
U.S. Department of Justice

# Lesson: Innovation in Smart Policing

James "Chip" R. Coldren, Jr., *CNA Project Director*

Mike White, CNA Subject Matter Expert and Glendale SPI Researcher

February 7, 2012

# Innovation Is Not New to Policing!

Sir Robert Peel, 1829

“Police, at all times, should maintain a relationship with the public that gives reality to the historic tradition that the police are the public and the public are the police; the police being only members of the public who are paid to give full-time attention to duties which are incumbent on every citizen in the interests of community welfare and existence.”

“The test of police efficiency is the absence of crime and disorder, not the visible evidence of police action in dealing with it.”

August Vollmer, 1909

“On the assumption of regularity of crime and similar occurrences, it is possible to tabulate these occurrences by areas within a city and thus determine the points which have the greatest danger of such crimes and what points have the least danger.”



# Innovation and Research

What types of innovation are there?

## Four Categories\*

### 1. Programmatic

- ❖ GREAT, DARE, foot patrol

### 2. Administrative

- ❖ New training, policy, performance evaluation

\*Moore, Sparrow & Spelman (1997)

# Innovation and Research

## 3. Technological

- ❖ Tools - TASER, Cameras, GIS

## 4. Strategic

- ❖ Philosophical - changing the means and ends of policing
- ❖ Community policing
- ❖ Problem-solving
- ❖ Order-maintenance policing
- ❖ Hot spots policing

# Stop and Think



- ❖ Do you think of your Smart Policing Initiative as innovative?
- ❖ If so, what type(s) of innovation do you envision?
- ❖ If not, why not?

# Examples of innovation in SPI

- ❖ Palm Beach - working with Guatemalan community
- ❖ Glendale - partnership with private security firm
- ❖ Reno - teaching doctors about substance abuse
- ❖ Los Angeles - new analysis platform, redeployment of analysts
- ❖ Philadelphia - experiment with police tactics, “changing mindsets and behaviors”
- ❖ Savannah - police-led reentry program
- ❖ Baltimore - gun registry

# Innovation and Degree of Difficulty

Two issues to think about:

- I. There is easy innovation and there is hard innovation – degree of difficulty
- II. Are all innovations a good thing? How do you know?

# Innovation and Degree of Difficulty

## I. Degree of Difficulty: Hard vs. Easy Varies by Innovation category

Categories 1,2, and 3 are often “easy” to implement

1. Programs: Philadelphia Foot Patrol study; DDACTS (Shawnee)
2. Administrative: Glendale’s 25-hr training on POP & the SARA model
3. Technology (new toys): Phoenix and Pullman both deploying cameras

# Innovation and Degree of Difficulty

- ❖ Category 4 – Strategic – has a higher degree of difficulty
  - ❖ COP, POP, hot spots, OM/BW
- ❖ But even within Category 4, some strategic innovations are easier than others
- ❖ Key Question - How far does a philosophy stray from the traditional model?

# Innovation and Degree of Difficulty

- ❖ Hot spots, Order maintenance, Pulling levers
  - ❖ Do not stray far - have not been as difficult to implement
  - ❖ Boston, Lansing, Joliet, Cincinnati, Las Vegas
- ❖ Community and Problem-Oriented Policing
  - ❖ Stray further from tradition - more difficult to implement
  - ❖ Glendale I, Kansas City: POP
  - ❖ Palm Beach: COP (immigrant community)

\*See Weisburd and Eck (2004), Braga and Weisburd (2007) for reviews of the evidence on effectiveness for each of these strategic innovations



# Stop and Think



- ❖ How difficult do you think it will be to successfully innovate with your Initiative?
- ❖ What do you think will be the easiest aspect of innovation?
- ❖ What do you think will be the most challenging aspect of innovation?

# Implementing Strategic Innovations\*

- ❖ Successful innovation requires buy-in, especially from the front line.
- ❖ How to do that?
- ❖ First, the necessary pre-conditions must be established:
  - ❖ Convince the frontline staff that the leaders support them
  - ❖ Make sure the frontline staff understands the big picture
- ❖ Here are 10 hints to achieve these pre-conditions.

\*From "Creating an innovative organization: Ten hints for involving frontline workers"; [www.govleaders.org](http://www.govleaders.org)

# Creating an Innovative Organization

1. Be immediately responsive to requests for improved working conditions (equipment, facilities, etc.)
  - ❖ Often a test; shows commitment from the boss
2. Support mistakes (within reason...)
  - ❖ Innovation involves making mistakes, but how they are handled?
  - ❖ Innovation can be crushed in a hurry
3. Create an explicit mission and related performance measures
  - ❖ Provide a rationale for the innovation (NYPD- Reclaiming Public Spaces)

# Creating an Innovative Organization

4. Broaden job categories
  - ❖ Narrow jobs promotes narrow thinking
5. Move people around
  - ❖ Removes the silos; helps with seeing the big picture
6. Reward teams, not individuals
  - ❖ Innovation is rarely the work of one person
  - ❖ Glendale SPI team won the 2011 Chief's Award
7. Make the hierarchy as unimportant as possible (or at least walk around without an entourage!)
  - ❖ Need everyone to have a sense of ownership (not just following orders)
  - ❖ Conducive to proposing new ideas

# Creating an Innovative Organization

8. Bring in the functional units
  - ❖ Budget, procurement, and finance like to say “no”
  - ❖ Get them thinking innovatively, too
9. Give everyone the information needed to do their jobs
  - ❖ Get the key info and intel to the frontline workers
  - ❖ And get it to them quickly (real-time)
10. Tell everyone what innovations are working
  - ❖ Spread the word - plant the seeds of innovation across precincts

# Innovation and Research

- ❖ Second issue - How do you know if innovation is a good thing?
- ❖ This is where research comes in.
- “We recognize the need to do more than improve the ‘toolkit’ available to officers...Robust research needs to be delivered in a way that equips officers with the knowledge they need to make decisions on the basis of what has proven to be effective.”\*
- ❖ Research gives direction on what works and what doesn't (Scared Straight or DARE anyone??)

“Science and Innovation in the Police Service, 2010-2013” The Home Office

# Innovation and Research

## Home Office Knowledge Programme

- ❖ Create knowledge: by extending the empirical base of what we know
- ❖ Share knowledge: by serving as a resource where evidence can be shared and accessed
- ❖ Assure knowledge: by making sure police policy and practice are evidence-based

## SPI as an Innovation and Knowledge Program

- ❖ For Easy Innovations: Programmatic, Administrative, Technological
- ❖ For Strategic Innovation, too: POP, COP, hot spots, pulling levers, OM policing

# Thinking about Innovation

- ❖ Which of the four categories of innovation apply to your Smart Policing Initiative?
- ❖ Explain the innovation.
- ❖ What conditions or opportunities exist within the participating agency(ies) to support your innovation?
- ❖ How will research help determine the usefulness of the innovation?





# Lunch

12:00-1:00

February 7, 2012

**PODCAST: 12:00-12:15 - EVANS COUNTY (Birch) and FRISCO (Laurel)**



# Roundtables

## Research and Analysis - Aspen Operations and Management - Plaza Ballroom C

February 7, 2012

This project was supported by Grant No. 2009-DG-BX-K021 awarded by the Bureau of Justice Assistance. The Bureau of Justice Assistance is a component of the Office of Justice Programs, which also includes the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime. Points of view or opinions in this document are those of the author and do not necessarily represent the official position or policies of the U.S. Department of Justice.



# SPI Research and Analysis: Role and Expectations

February 7, 2012

# Researcher Roundtable - Overview

## ❖ Goals:

- ❖ Explain expectations regarding research in Smart Policing
- ❖ Discuss the roles the researchers and analysts tend to play in Smart Policing Initiatives
- ❖ Discuss the types of research designs envisioned in your projects
- ❖ Brainstorm about how to best support and enhance research in Smart Policing

# Format

- ❖ Opening remarks from BJA/CNA
- ❖ Comments and facilitation from Scott Decker
- ❖ Dialogue and brainstorming regarding:
  - ❖ Roles and contributions envisioned for researchers and analysts
  - ❖ Relationships between researchers and analysts, and others
  - ❖ Current thinking about research designs
  - ❖ Data and information resources
  - ❖ Organizational impediments
  - ❖ How can BJA/CNA best support research and analysis
- ❖ Note-taking and summarize at the end





# SPI Operations and Management: Role and Expectations

February 7, 2012

# Operations and Management: Roles and Expectations

- ❖ Support research
- ❖ Manage project
- ❖ Facilitate partnerships
- ❖ Garner support and influence
- ❖ Help plan for sustainability
- ❖ Access technical assistance and training

# Operations and Management: Roles and Expectations



- ❖ Support Research
  - ❖ Understand role of research - *“results”*
    - Problem definition and analysis
    - Monitoring and feedback to the team
    - Impact analysis and evaluation
  - ❖ Facilitate partnership -- *Are researchers active members of the team?*



# Operations and Management: Roles and Expectations



- ❖ Manage Project
  - ❖ Understand importance of Smart Policing
  - ❖ Manage workload to make progress and achieve desired results
  - ❖ Ensure ongoing communication among team members and others

# Operations and Management: Roles and Expectations



- ❖ Facilitate Partnerships
  - ❖ With researchers
  - ❖ With internal colleagues
  - ❖ With external agencies
  - ❖ With community members and organizations

# Operations and Management: Roles and Expectations



- ❖ Garner support and influence
  - ❖ Buy-in from command and executive staff
    - Do they *“Walk the walk and talk the talk?”*
    - Approvals, resources, recognition, support
- ❖ Manage internal politics



# Operations and Management: Roles and Expectations

- ❖ Help plan for sustainability
  - ❖ Consider 'how to sustain' early on
  - ❖ Be results oriented
  - ❖ Help the team stay on task so it meets the mission
  - ❖ Keep senior executives - and all stakeholders - informed

# Opportunities for Training and Technical Assistance

- ❖ National meetings
- ❖ Webinars
- ❖ Briefs and newsletter, lessons learned
- ❖ Regular calls with SMEs
- ❖ Individualized assistance
- ❖ Website and social media





# Remarks from Denise O'Donnell, BJA Director

2:45-3:00

February 7, 2012



# Break

3:00-3:15

February 7, 2012

PODCAST: GLENDALE (Birch) and KANSAS CITY (Laurel)





# Team Collaboration: Goals and Plans

February 7, 2012



# Instructions

- ❖ Working with the plan assessment and revision template:
  - ❖ Meet as a project team
  - ❖ Review and discuss pertinent portions of your project plan covered today (and in the pre-meeting webinar)
  - ❖ Make notes on the template regarding:
    - ❖ Any different thinking at this point
    - ❖ Questions that have come up
    - ❖ Things that need to be addressed upon return
    - ❖ Possible changes or adjustments to your plans and strategies
- ❖ **Not binding!!! This is time for creative thinking.**



**BJA**  
Bureau of Justice Assistance  
U.S. Department of Justice

# Grant Management Guidelines



# Overview

- **Grant Modifications (Grant Adjustment Notices)**
  - Sole Source and Consultant Fee Approval
  - Project Period (No-Cost) Extension
  - Budget Modification
- **Prohibited Costs / Costs that Require Additional Approval**
  - Food and Beverage
  - Incentives
  - Conference Costs
- **DUNS, CCR & Address Verification**



# Grant Modifications

- Grant Adjustment Notice (GAN) to revise programmatic, administrative, or financial items associated with an award.
  - Budget Modification
  - Change of Scope
  - Sole Source Approval
  - Costs Requiring Prior Approval
  - Change of Project Period
  - Change of Address
  - Change of Point of Contact
- Submitted and approved through GMS with sufficient justification.
- Must be current on financial and programmatic reporting.



## Sole Source

- Non-competitively bid procurements in excess of \$100,000 requires prior approval.
- Approval requested via a Sole Source Approval GAN in GMS.
- Justification must address criteria found in the Office of Justice Programs Procurement Guide.

## Consultant Rate Approval

- Consultant rates that exceed \$450 per 8-hour day or \$56.25 per hour requires prior approval.
- Approval requested via a Program Office Approval GAN in GMS.



# No Cost Extension

- Must be requested no later than 30 days prior to the end of the award.
- A maximum of 12 months may be requested.
- Generally one extension is permitted per award.
- Retro-active requests may not be approved.
- Submitted and approved through GMS with sufficient justification.
  - Identify the length of time requested,
  - Describe the reasons the extension is needed,
  - Describe the reasons grant activities were not completed within the current project period,
  - Describe the activities that will be completed during the extension period,
  - Provide the unobligated balance of funds remaining as of the date the GAN is submitted,
  - Provide a revised project period timeline.



# Budget Modification

- **The 10% Rule**

Up to a cumulative of 10% of the federal award may be reprogrammed without prior approval as long as:

- Funds are moved from an approved budget category to another approved category;
- The scope does not change;
- Funds are not being moved in or out of the Indirect Cost budget category.

- **Traditional Budget Modification GAN**

Proposed cumulative change is greater than 10% of the award amount or:

- The award amount is less than \$100,000 (10% rule does not apply);
- Funds are being moved into a budget category that was not previously approved.

**A GAN is Recommended Even if the 10% Rule Applies**





# Project Scope

- A change of scope may be permitted during the project period at the direction of BJA and CNA.
- Factors that involve a change of scope include:
  - Altering programmatic activities;
  - Affecting the purpose of the project;
  - Changing the project site





# Prohibited Costs/Costs Requiring Additional Approval

- **Food and Beverage**

Food cannot be funded under any OJP grant, regardless of cost or purpose. Travel per diem is excluded.

- **Incentive Items**

Token incentives and entertainment are not allowable.

- **Conference Costs**

Any “event” requires prior approval.



# DUNS, CCR & Address Verification

- DUNS number and address listed in GMS must be associated with the legal recipient of the award.
- If the address or DUNS are not correct, a change of address or a change of DUNS GAN must be submitted.
- CCR Claim must be resubmitted annually in GMS, whenever the CCR is revalidated.



# Grantee Resources

- Office of Justice Programs Financial Guide:  
<http://www.ojp.usdoj.gov/financialguide/>
- Office of Justice Programs Procurement Guide:  
[http://www.ojp.gov/financialguide/PDFs/New%20Procurement%20Guide\\_508compliant.pdf](http://www.ojp.gov/financialguide/PDFs/New%20Procurement%20Guide_508compliant.pdf)
- Grants Management System (GMS):  
<https://grants.ojp.usdoj.gov/gmsexternal/>
- GMS Help Desk: 1-888-549-9901, option 3  
Login Assistance and Navigation through the System
- GMS Online Training Tool: <http://www.ojp.gov/gmscbt/>



# Smart Policing Performance Measures

February 7, 2012



## Performance Measurement vs. Evaluation

Feature	Performance Measurement	Evaluation
Question	How much?	What does it mean?
Example	Game score	Game analysis
Offers	A tally	Causality
Timeframe	Continuous (Ongoing)	Interval (Discrete)
Cost	Less expensive	More expensive



## Performance Measures: Why They're Important

- Link people and dollars to performance
- Link programs and resources to results
- Help to justify continued funding
- Are learning and management tools for us, for you



## What Does BJA Do With the Data?

- GPRA Modernization Act: Government Performance and Results Act
- Budget formulation
- PAR: Performance and Accountability Report
- Share it with you





## Performance Measure Reporting Requirements

Reporting Period	Type of Data Required	PMT Due Date	Upload to GMS?
January 1- March 31	Program Performance Measures	April 30th	No
April 1-June 30	Program Performance Measures and Narrative	July 30th	Yes Due July 30th
July 1-September 30	Program Performance Measures	October 30th	No
October 1-December 31	Program Performance Measures and Narrative	January 30th	Yes Due January 30th

Reported in Performance Measurement Tool (PMT) [www.bjaperformancetools.org](http://www.bjaperformancetools.org)





## Financial Reporting

Reporting Period	Type of Report Due	GMS Due Date
January 1- March 31	Financial Status Report 425	April 30th
April 1-June 30	Financial Status Report 425	July 30th
July 1-September 30	Financial Status Report 425	October 30th
October 1-December 31	Financial Status Report 425	January 30th

**Report Financial Data in the Grants Management System (GMS): <https://grants.ojp.usdoj.gov>**



## How You'll Report on Performance Measures

- Create report in the Performance Measurement Tool (PMT) **quarterly**
- Upload PMT report to the Grants Management System (GMS) **semi-annually**
- Report only on grant-funded activities during the specified three month reporting period
- Funds are frozen if reports are delinquent



## Performance Measurement Tool (PMT)

**BJA Performance Tools**

**Performance Measurement Tool (PMT)**

The BJA Performance Measurement Tool supports BJA grantees ability to identify, collect, and report performance measurement data on activities funded by their award. After logging in, you will be able to:

- Report Data
- Create a report ready for the Grants Management System (GMS)

You must be a grantee of BJA to obtain a user ID and password to access these features. If you need a user ID or have questions or any problems; please feel free to contact the help desk staff at [BJAPMT@csriincorporated.com](mailto:BJAPMT@csriincorporated.com).

**Login**

Enter your User ID and Password to sign in.

User ID:


Password:

**BJA Training and Technical Assistance Tool (TTARS)**

The BJA Training and Technical Assistance Tool helps BJA grantees do the following:

- Add training and technical assistance events
- Report on activity related to these events

If you would prefer to just browse the calendar, you can launch the calendar using the button below:

 [Click here to browse the calendar](#)

You must be a grantee of BJA to obtain a user ID and a password to access these features. If you need a user ID or have questions or any problems, please feel free to contact the help desk staff at [BJAtools@csriincorporated.com](mailto:BJAtools@csriincorporated.com).





## Performance Measurement Tool (PMT)

Info & Resources	Profile	Federal Awards	Reports	Help	Log Out
Grantee: CSR TEST      Program: SPI      Reporting Period: Oct - Dec 11      Fed Awd #: 2010-SM-AR-TEST Amt: \$100,000					
<b>Numeric Data</b> <a href="#">Back to View</a>					
Please enter data for each performance measure shown below.					
<b>Award Information saved.</b>					
<b>Numeric Data</b> <b>October to December 2011</b>					
[-] Program Characteristics					
2. <u>Does your SPI program follow a specific policing philosophy, methodology, or practice?</u>					
A. Yes (Go to question 3)      No (Go to question 4) <input type="radio"/> Yes <input type="radio"/> No					
3. <u>Which one of the specific policing philosophies, methodologies, or practices are you following?</u>					
A. Problem-oriented policing (ex: SARA) <input type="checkbox"/>					
B. Intelligence-led policing <input type="checkbox"/>					
C. Predictive policing <input type="checkbox"/>					
D. Community-oriented policing <input type="checkbox"/>					
E. Other <input type="checkbox"/>					
F. Other <input type="text"/>					
[+] Crime Analyses					
[+] Goals and Objectives					
[+] Intervention					
[+] Evaluation					
[+] Organizational Change					
[+] Data Sources					
<input type="button" value="Save"/> <input type="button" value="Cancel"/>					



# GMS Progress Report Module



BJA FY 2006 Anti-Gang Initiative 2006-PG-BX-0034

[Award](#)[Financial Status Reports \(SF-269a\)](#)[OVC Performance Report](#)[Correspondence](#)

**Semi-Annual Progress Report Handbook**

[Progress Reports](#)[Special Reports](#)

[Help/Frequently Asked Questions](#)[Semi-Annual Progress Reports Home](#)[GMS Home](#)[Log Off](#)

**Semi-Annual Progress Reports**

This handbook allows you to complete Semi-Annual Progress Reporting for BJA FY 2006 Anti-Gang Initiative.

For questions about what to submit click [here](#).

Report Number	Reporting Period	Type	Status	Last Edited	Action
1	01-Jan-2006 - 30-Jun-2006	Regular	Approved	18-Dec-2006	<a href="#">View</a>
2	01-Jul-2006 - 31-Dec-2006	Regular	Approved	17-Jan-2007	<a href="#">View</a>
3	01-Jan-2007 - 30-Jun-2007	Regular	Approved	17-Jul-2007	<a href="#">View</a>
4	01-Jul-2007 - 31-Dec-2007	Regular	Draft	16-Dec-2006	<a href="#">View</a> <a href="#">Update</a>
5	01-Jan-2008 - 30-Jun-2008	Regular	Draft	16-Dec-2006	<a href="#">View</a> <a href="#">Update</a>
6	01-Jul-2008 - 31-Dec-2008	Final Report	Draft	16-Dec-2006	<a href="#">View</a> <a href="#">Update</a>

<http://www.ojp.gov/gmscbt>



## GMS Attachment Upload



BJA FY 2006 Anti-Gang Initiative 2006-PG-BX-0034

Award

Financial Status Reports (SF-269a)

OVC Performance Report

Correspondence

Semi-Annual Progress Report Handbook

Attachments

Report Overview

Point of Contact

Performance Metrics

Narratives

Attachments

Certification

Submit Report

Use attachments for any additional information you would like you provide.

Semi-Annual Progress Report Attachments

Click on the Attach Button to upload an attachment

Attach

Continue

[Help/Frequently Asked Questions](#)

[Semi-Annual Progress Reports Home](#)

[GMS Home](#)

[Log Off](#)

<http://www.ojp.gov/gmscbt>





## Smart Policing Measures

Performance Measures	Data Grantee Provides
Number of times Smart Policing <b><u>objectives</u></b> have been <i>developed, revised, or reprioritized</i> during the reporting period	Have you developed, revised, or reprioritized <b><u>objectives</u></b> for your SPI project during the reporting period? <b>Yes/No</b>  How many times during the reporting period did you <i>develop, revise, or reprioritize</i> <b><u>objectives</u></b> for the Smart Policing project?



## Smart Policing Measures

Performance Measures	Data Grantee Provides
Revisions or modifications made to <b><u>strategic plan</u></b> during the reporting period	<p>During the reporting period, did you revise a <b><u>strategic plan</u></b> to address the targeted problem(s)? <b>Yes/No</b></p> <p>Please explain how you <b><u>revised or made modifications</u></b> to your strategic plan. (Optional Textbox)</p>





## Smart Policing Measures

Performance Measures	Data Grantee Provides
Number of new <b>policies</b> <i>created or updated</i> by the department or organization that address evidence-based or data-driven practices?	<p>Has your department or organization created or updated any <b>policies</b> that address evidence-based or data-driven practices? <b>Yes/No</b></p> <p>How many new <b>policies</b> has your department or organization <i>created</i> that address evidence-based or data-driven practices?</p> <p>How many existing <b>policies</b> have your department or organization <i>updated</i> that address evidence-based or data-driven practices?</p>



## Smart Policing Measures

Performance Measures	Data Grantee Provides
Number of <b><u>internal or external</u></b> trainings on evidence-based or data- driven topics or practices attended by the department or organization attended	<p>Has your department or organization attended <b><u>internal or external</u></b> trainings on evidence-based or data- driven topics or practices? <b>Yes/No</b></p> <p>How many <b><u>internal or external</u></b> trainings on evidence-based or data-driven topics or practices has your department or organization attended?</p>



## Smart Policing Measures

### Performance Measures

### Data Grantee Provides

Types of data sources used in analysis during the reporting period

	Analyzed	Did Not Analyze
Official police reports of incidents	<input type="radio"/>	<input type="radio"/>
Calls for service	<input type="radio"/>	<input type="radio"/>
Arrest reports	<input type="radio"/>	<input type="radio"/>
Criminal histories	<input type="radio"/>	<input type="radio"/>
Community data (includes foreclosures, health and human services data, school data, and other community data)	<input type="radio"/>	<input type="radio"/>
Evidentiary or adjudication data (includes any courts data)	<input type="radio"/>	<input type="radio"/>
Corrections data (includes probation and parole data)	<input type="radio"/>	<input type="radio"/>
Offender risk assessments	<input type="radio"/>	<input type="radio"/>
Juvenile data	<input type="radio"/>	<input type="radio"/>
Surveys from officers	<input type="radio"/>	<input type="radio"/>
Surveys from community members	<input type="radio"/>	<input type="radio"/>
Surveys from offenders	<input type="radio"/>	<input type="radio"/>
Surveys from victims	<input type="radio"/>	<input type="radio"/>
Other		



## Narrative Questions

#	Measure	Definition	Reporting Format
1	What were your accomplishments within this reporting period?		Open-ended question (5000 characters)
2	What goals were accomplished, as they relate to your grant application?		Open-ended question (5000 characters)
3	What problems/barriers did you encounter, if any, within the reporting period that prevented you from reaching your goals or milestones?		Open-ended question (5000 characters)
4	Is there any assistance that BJA can provide to address any problems/barriers identified in question #3 above?		Open-ended question (5000 characters)
5	Are you on track to fiscally and programmatically complete your program as outlined in your grant application? (Please answer YES or NO and if no, please explain.)		Open-ended question (5000 characters)
6	What major activities are planned for the next 6 months?		Open-ended question (5000 characters)
7	Based on your knowledge of the criminal justice field, are there any innovative programs/ accomplishments that you would like to share with BJA?		Open-ended question (5000 characters)



## Reporting Guidelines

- In the PMT, each section has Yes/No question to determine if the section applies to your activities.
- “No” can be changed to “Yes” but “Yes” cannot be changed to “No.”
- Make sure to attach the PMT report to your semi-annual progress report in GMS.
- Do not answer the performance measures in GMS.
  - Will have to enter N/A or 0 until questions are deleted
  - Soon to be deleted from GMS system
- Provide detailed responses to the seven narrative questions.



Alissa Huntoon  
BJA SPI Policy Advisor  
Phone: 202-305-1661  
Email: [Alissa.Huntoon@usdoj.gov](mailto:Alissa.Huntoon@usdoj.gov)

Agnes Cholewa  
Research Associate  
Phone: 202-616-3567  
Email: [Agnieszka.Cholewa@usdoj.gov](mailto:Agnieszka.Cholewa@usdoj.gov)





# Closing Review/Day 2 Focus

James "Chip" R. Coldren, *CNA Project Director*

February 7, 2012

This project was supported by Grant No. 2009-DG-BX-K021 awarded by the Bureau of Justice Assistance. The Bureau of Justice Assistance is a component of the Office of Justice Programs, which also includes the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime. Points of view or opinions in this document are those of the author and do not necessarily represent the official position or policies of the U.S. Department of Justice.

# Wrapping up Day 1

- ❖ Big Ideas?
- ❖ What to expect tomorrow:
  - ❖ More Podcasts
  - ❖ Website and social media
  - ❖ Technology and Smart Policing
  - ❖ Peer-to-Peer interaction
  - ❖ How to sustain our efforts
  - ❖ Second plan review and assessment
  - ❖ Interactive wrap-up to the meeting
  - ❖ Post meeting assessment and evaluation