



FBI Law Enforcement Bulletin

June 2008
Volume 77
Number 6

United States
Department of Justice
Federal Bureau of Investigation
Washington, DC 20535-0001

Robert S. Mueller III
Director

Contributors' opinions and statements should not be considered an endorsement by the FBI for any policy, program, or service.

The attorney general has determined that the publication of this periodical is necessary in the transaction of the public business required by law. Use of funds for printing this periodical has been approved by the director of the Office of Management and Budget.

The *FBI Law Enforcement Bulletin* (ISSN-0014-5688) is published monthly by the Federal Bureau of Investigation, 935 Pennsylvania Avenue, N.W., Washington, D.C. 20535-0001. Periodicals postage paid at Washington, D.C., and additional mailing offices. Postmaster: Send address changes to Editor, *FBI Law Enforcement Bulletin*, FBI Academy, Law Enforcement Communication Unit, Hall of Honor, Quantico, VA 22135.

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This publication is produced by members of the Law Enforcement Communication Unit, Training Division.

Issues are available online at <http://www.fbi.gov>.

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Cover Photo

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Send article submissions to Editor, *FBI Law Enforcement Bulletin*, FBI Academy, Law Enforcement Communication Unit, Hall of Honor, Quantico, VA 22135.

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Human Performance Improvement for Tactical Teams

By D.J. HATHAWAY, M.Ed.



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The law enforcement community faces more challenges today than ever before. Such phrases as *weapons of mass destruction*, *terrorist cell*, and *homeland security* have become common vernacular. Moreover, agencies must deal with the ever-increasing public scrutiny that comes with the availability of 24-hour news coverage. To protect officers, safeguard the financial solvency of the agency, and

provide better service for citizens, law enforcement organizations need comprehensive strategies. Tactical teams, as well as police departments, must show that they appropriately select, properly train, and responsibly manage their officers.

Human performance technology (HPT), which originated in general systems theory (mankind and machines are applied together against an objective)¹ and behaviorism

(manipulation of the human performer is conducted to enhance overall production or performance), increases profitability in businesses by either reducing operating costs or increasing profit streams. In law enforcement systems, HPT brings together the performance of the officer, benefits of technology, and complexities of the legal system to tackle challenging situations and provide outstanding public service.

A Team's Capabilities

Most law enforcement agencies no longer rigidly adhere to tactical standard operating procedures (SOPs). Rather, they use them as guidelines or rely on them when standard situations occur. Departments can face legal ramifications if they deviate from detailed SOPs. Further, problems can arise when SOPs are too ambiguous, do not provide any real guidance, or are not based on the reality of the department's capabilities and resources. Tactical unit SOPs should reflect the abilities, staffing, and jurisdiction of the team. Situations seldom unfold as predicted, so agencies should properly plan for contingencies.

The law enforcement community employs specialized tactical teams to deal with extraordinary situations, typically

protracted in nature, that require the use of uniquely trained personnel. A candid self-analysis of a tactical team's capabilities can define appropriate situations to train for and maximize the resources available to do so. HPT can specifically enhance the development of a department's tactical team by providing not only clarity but also systematic tools that analyze the organizational context, determine the current performance levels, and render direction and evaluation to ensure the team functions at its highest potential. But, common to any systematic approach, when initial assumptions are inaccurate, skewed results most likely occur.

Business Analysis

A business usually either makes a product or provides a service; the tactical team

furnishes a specialized service for the department and the public. "A business analysis is the process of identifying and clarifying primary organizational goals, targets, or needs."² Such an analysis defines what is important to the department and the tactical team. Team goals and capabilities vary between agencies, which should consider such factors as team size, physical standards, psychological stability, amount of dedicated training time, funding, and even frequency of using the team. In a post-September 11 and school-shooting era, how neighboring jurisdictions select, train, and equip teams proves significant. Leaders should develop a memorandum of understanding with other agencies that identifies the frequency of joint training and crisis response duties and capabilities. In these matters, a business analysis can provide clarity and proves important for two basic reasons. First, goals drive an organization, and the business analysis defines the goals. The analysis points out what is and what is not important. Second, identifying the goals and what is important allows the department to focus on significant performance issues and the allocation of resources to support them. For example, a needs assessment may identify that the tactical team has no rappelling capability. Before the team spends



Special Agent Hathaway serves on the FBI's Hostage Rescue Team.

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A performance analysis explains the current state of the department's tactical team and defines the desired one.

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time and money on equipment and training, it needs to determine the value of rappelling, identify team priorities, and train accordingly. That does not mean that the team should not train to rappel, but it should be proportional to the actual time the team uses rappelling and the likelihood of its use. The business analysis demonstrates the framework by stating what the department has, what it needs to be able to do, and what it can do with what it has. Tactical teams have to decide whether they want to do a few things very well or perform a wide variety of tasks not so well.

A business analysis for a tactical team should measurably focus on results and be important, relevant, and tied to a time line. When measurable, agencies can monitor progress and evaluate results. If the team employs an intervention to improve firearms scores, leaders should evaluate whether it has the desired effect. The analysis focuses on results—the bottom line. In law enforcement, officer and citizen safety and the successful prosecution of criminals encompass the bottom line. To perform well, organizations must follow clearly defined goals and standards of conduct. Further, the analysis should have a time-line component that keeps goals on track and provides milestones of success along the way. While the

business analysis provides the goals that the team or department is trying to reach, the performance analysis identifies the human behaviors and tasks necessary to reach them.

Performance Analysis

A performance analysis explains the current state of the department's tactical team and defines the desired one. It focuses on identifying the team's capabilities, resources, and

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HPT can specifically enhance the development of a department's tactical team....

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accomplishments—a macro-to-micro review of the strengths and weaknesses in the organization. “Performance analysis is critical to any organization's ability to improve its results and, ideally, achieve important goals and objectives.”³ The customer-based macro-to-micro view helps define the team's limitations. It starts with an understanding of the community and the goals and values of the department and ends with a clearer understanding of the behaviors and resources that

the officers, the most valuable asset of any agency, bring. Law enforcement organizations can operate, at some level, without radios, cars, and guns, but they cannot function without people.

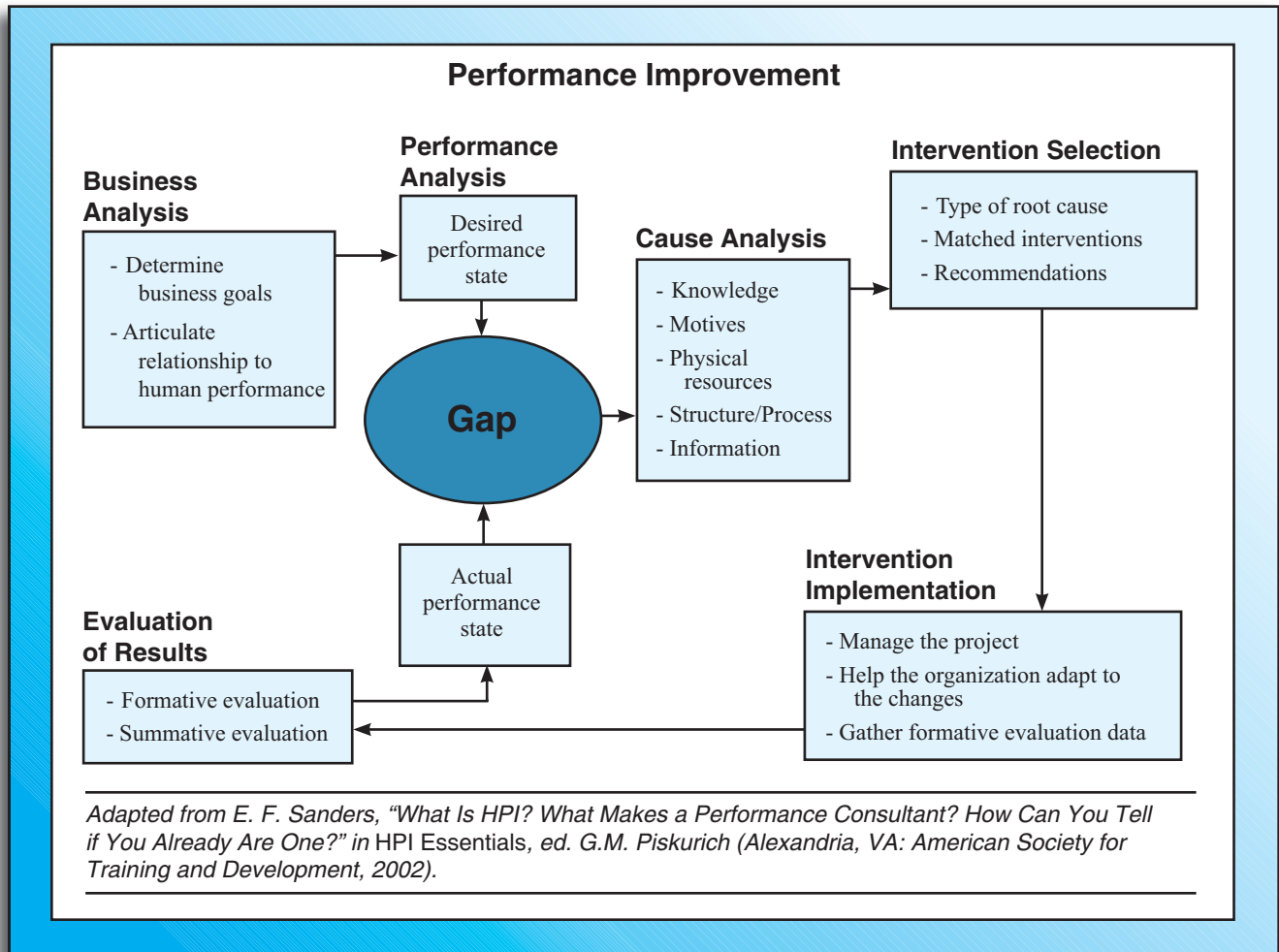
Performance analysis incorporates organizational, environmental, and gap analyses. Organizational analysis focuses on the more academic aspects of the department, such as the mission, vision, and goals. Environmental analysis considers work conditions: the workers, work, and organizational issues of competition, service, and identification of stakeholders. As the name implies, gap analysis defines the area between actual performance of the team and the desired level and, as such, constitutes the second stage of performance analysis. These analyses create a realistic understanding of what the team can and cannot do. For example, a department has responsibility for a medium-sized airport within its jurisdiction, but its five-member tactical unit's services are seriously limited if a crisis occurs at the airport. The agency has to define what can be done with its five-member unit and either increase the size of the team or maximize its available abilities and resources and ask for help when necessary. Whatever the decision in this particular example, the department discovers the problem during this performance

analysis phase. Agencies can employ many techniques and methods (document reviews and needs, knowledge, procedural, and systems task analyses) to gain a comprehensive understanding of the performance and record the items discovered, particularly anything concerning the functioning of the job or whether something is mismanaged or missing from the process.

An effective way to represent and understand the

performance analysis is through organizational mapping, a visual tool that depicts how something functions within a system. Relationship mapping, often used in business and industry, illustrates the services provided and under what instances they are engaged. This benefits the tactical team because it can show the relationship between the capabilities of the team and the conditions that require deployment. Conversely, a process map highlights the

milestones on the path to goal completion. To reach the goal, teams have to accomplish certain tasks. If the goal is to have three breachers on the team, a process map could show the requirements needed to reach it: 1) select personnel, 2) ensure they have the requisite physical and mental ability, 3) properly train them, 4) adequately equip them, 5) evaluate and certify them, and 6) establish reoccurring training. Identifying and visualizing this course of action



provides direction and a way to monitor the progress toward the goal. The more comprehensive the understanding of the organization's culture, context, and issues, the more accurate, applicable, and relevant the interventions used to solve the problems.

Gap Analysis

Whereas performance analysis identifies the problem or area of concern, gap analysis brings the issue to the forefront, begins to frame it in terms of human behaviors and expected outcomes, and addresses the complex issue of consequences. The gap is the space between the team's current position and where it wants to be. For example, a SWAT team conducts an analysis to understand why the team has a disparity between high scores on standard firearm courses and much lower scores on two-dimensional targets in the shooting house during close-quarters battle training. The current state is low scores on targets that depict armed criminals, with rounds impacting around the area of the gun. The desired state is center of mass or effective head shots on those same targets. The team wants to understand this disparity, or gap. At this point, the analysis goes one step further and specifies the consequences for the team because of this gap: if the round is not hitting the intended target, then it is going

somewhere it should not. If the round does not actively stop the criminal action, then the lawlessness may continue and focus on innocent hostages or the officers.

To keep the gap analysis systematic and appropriate, agencies should determine what the gap is and prioritize it. How often does the gap occur? How costly will it be to fix? Or, how important is the gap?

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Every department and tactical team should have performance improvement as a goal.

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What if the team did nothing? Discovering a gap does not mean that it can, should, or will be addressed. When more than one gap occurs, teams should prioritize them from most important to least and from easiest (nominal effort or resources) to hardest (the most attention and resources). During the gap analysis, agencies should refrain from judging causative factors, placing blame, or presupposing solutions. The human performance improvement model provides a systematic and comprehensive approach to identifying

and understanding a problem and developing and implementing a solution. Rushing through these steps risks wasting time, effort, and money. Performance improvement is not developed nor intended to place blame or find fault. If agencies suggest, design, or implement solutions prior to the completion of the analysis, then the interventions probably will be flawed and any success based on luck, rather than understanding and hard data. The critical gap analysis “ties together all of the performance issues and forms the basis for the next steps in the process: the identification of causes and the selection of interventions.”⁴ It sets the stage for the root-cause analysis; it does not bypass it.

Root-Cause Analysis

The symptoms rarely identify the real problem and, typically, agencies repeatedly use one solution—training. Root-cause analysis entails thoroughly examining the problem and making decisions based on facts and multiple perspectives, rather than on assumptions and knee-jerk reactions. If agencies incorrectly perceive the cause of the problem, the training or performance intervention probably will not address the issue, which will result in two problems: the original issue and a new one related to the unintended consequences of a misdirected intervention.

Resources

Law enforcement administrators and trainers can find numerous resources regarding human performance improvement and technology. Well-known organizations that deal with performance improvement issues, strategies, and training include the American Society for Training and Development (<http://www.astd.org>) and the International Society for Performance Improvement (<http://www.ispi.org>).

The root causes of any performance issue usually result from some sort of dysfunction either in environmental support (due to a lack of information, resources, or incentives) or a general lack of appropriate behaviors (most likely from inadequate skills, knowledge, motivation, or expectations). Teams can use several methods to better identify the root cause of the problem. First, they can conduct structured brainstorming with all team members. The group defines the problem, and members record ideas. The group then considers all suggestions and breaks them down to basic components. This method not only maximizes the synergistic effect of multiple minds focusing on a problem but also empowers the tactical operators to take an active role in the unit and its decision-making process. This can motivate individuals and lead to higher performance results.

Additionally, teams can use the Five Whys,⁵ a tool that

simply reduces the problem to its foundation by peeling away the layers that often cause distractions or are symptoms of the root-cause issue. For example, a SWAT team wants to abandon the use of the M-4 rifle because members believe it is unreliable due to a high number of malfunctions. The group probably would ask particular why questions.

- 1) A SWAT team is experiencing a significant number of malfunctions with the M-4 rifle. Why?
- 2) Shell primers are falling out of the round after firing and into the trigger housing, which stops the trigger from functioning properly. Why?
- 3) The primers are falling out of the rounds. Why?
- 4) The primers are not properly “staked” in place in the shell casing. Why?
- 5) A lack of quality control standards by the ammunition manufacturer.

The conclusion that the ammunition was faulty and not the weapon can save the department time, money, and worry. Although it may seem that the idea of root-cause analysis is common sense, when a knee-jerk reaction or a rush to judgment occurs, agencies are not directly considering the root-cause issue. In a world of instant news and a cultural construct that mandates perception as reality, law enforcement organizations experience difficulty getting past the expediency and immediate gratification that comes from doing something as soon as possible. The symptoms of a problem rarely illuminate the actual causative factors.

Conclusion

As the law enforcement profession becomes more scientific, the classic line between practice and theory blurs. Just as citizens expect officers to conduct systematic and comprehensive criminal investigations, they would not anticipate anything less in the way officers solve problems, conduct training, or plan strategic performance improvement interventions. Law enforcement agencies must implement systematic solutions.

By the very nature of their typical mission profiles, tactical teams can greatly benefit from the strategies of human performance technology. Teams potentially face complex and

difficult situations that require highly specialized and comprehensive training. But, training is not always the answer.

Every department and tactical team should have performance improvement as a goal. A systematic and comprehensive approach establishes credibility and motivates innovation within the community and the organization. Tactical teams should constantly challenge the assumptions under which they operate. Establishing a research

and development frame of mind can better expand the capabilities of the team and prove more cost-effective than many other commercial training courses. ♦

Endnotes

¹ P. B. Checkland, "Toward a System-Based Methodology for Real-World Problem Solving," *Journal of Systems Engineering* 3, no. 2 (1972).

² J. Willmore, "Business Analysis: The Driving Force Behind the HPI Process," in *HPI Essentials*, ed. G.M. Piskurich (Alexandria, VA: American Society for Training and Development, 2002).

³ C.M. Panza, "Performance Analysis: Linking It to the Job," in *HPI Essentials*, ed. G.M. Piskurich (Alexandria, VA: American Society for Training and Development, 2002).

⁴ M. Boyd, "Gap Analysis: The Path from Today's Performance Reality to Tomorrow's Performance Dreams," in *HPI Essentials*, ed. G.M. Piskurich (Alexandria, VA: American Society for Training and Development, 2002).

⁵ G. M. Piskurich, "Cause Analysis: Don't Assume Training Is the Answer, Don't Assume Anything!" in *HPI Essentials*, ed. G.M. Piskurich (Alexandria, VA: American Society for Training and Development, 2002).

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Bulletin Reports

Felony Defendants

The Bureau of Justice Statistics report *Pretrial Release of Felony Defendants in State Courts* presents findings on the pretrial release phase of the criminal justice process using data collected from a representative sample of felony cases filed in the 75 largest U.S. counties in May during even-numbered years from 1990 to 2004. It includes trends on pretrial release rates—compared by arrest offense, demographic characteristics, and criminal history—and the types of release used. Characteristics of released and detained defendants also appear. Rates of pretrial misconduct, including failure to appear and rearrest, are presented by type of release, demographic characteristics, and criminal history. Highlights reveal that about 3 in 5 felony defendants in the 75 largest counties were released prior to the disposition of their cases; surety bonds surpassed releases on recognizance in 1998 as the most common type of pretrial release; and defendants on financial release were more likely to make all scheduled court appearances. The report (NCJ 214994) is available at the National Criminal Justice Reference Service's Web site, <http://www.ncjrs.org>.

Coping with Abduction of a Sibling

Written by siblings of children who have been abducted, *What About Me? Coping with the Abduction of a Brother or Sister* contains information to help and support children of all ages when a brother or sister is kidnapped. This Office of Juvenile Justice and Delinquency Prevention guide provides insight into what children can expect concerning feelings they may experience, events that may occur from day to day, and actions they can take to help themselves feel better. Written in child-friendly language, it is divided into such sections as home, family, law enforcement, the media, school and work, and holidays and anniversaries. In addition, the guide contains activity pages for children of all ages, including those too young to read. To access a copy of this guide (NCJ 217714), visit the National Criminal Justice Reference Service's Web site, <http://www.ncjrs.org>.

Campus Law Enforcement

Campus Law Enforcement, 2004-2005 contains findings from a Bureau of Justice Statistics survey of campus law enforcement agencies serving 4-year colleges and universities with 2,500 or more students. Covering the 2004-2005 academic year, the study collected data from departments using sworn police officers and those using only nonsworn security officers. The report compares law enforcement organizations serving public and private campuses by number and type of employees, screening methods used for hiring officers, training and education requirements for officers, agency functions, types of equipment, computers and information systems, special programs, and written policy directives. It also summarizes general campus characteristics, including crime statistics. Appendix tables include data from 2-year public colleges with an enrollment of 10,000 or more. Specifically, three-quarters of campus law enforcement agencies used sworn officers with full arrest powers; nearly all campuses had 24-hour patrol, a 3-digit emergency number, and emergency blue-light phones; and among schools with 5,000 or more students, private campuses had more law enforcement employees per capita than public campuses. Access <http://www.ncjrs.org>, the National Criminal Justice Reference Service's Web site, to obtain a copy of the report (NCJ 219374).

NCPC Publications Online

The National Crime Prevention Council (NCPC) has several full-text publications available on its Web site to download at no charge. These cover such topics as personal, home and neighborhood, school, and work safety; bullying; conflict resolution; violence; fraud; hate/bias; alcohol, tobacco, and other drugs; preparedness; volunteering; and Neighborhood Watch programs. NCPC offers the free publications either in Adobe PDF format or in text (HTML) version. For these documents and many other reports, access NCPC's Web site at <http://www.ncpc.org>.

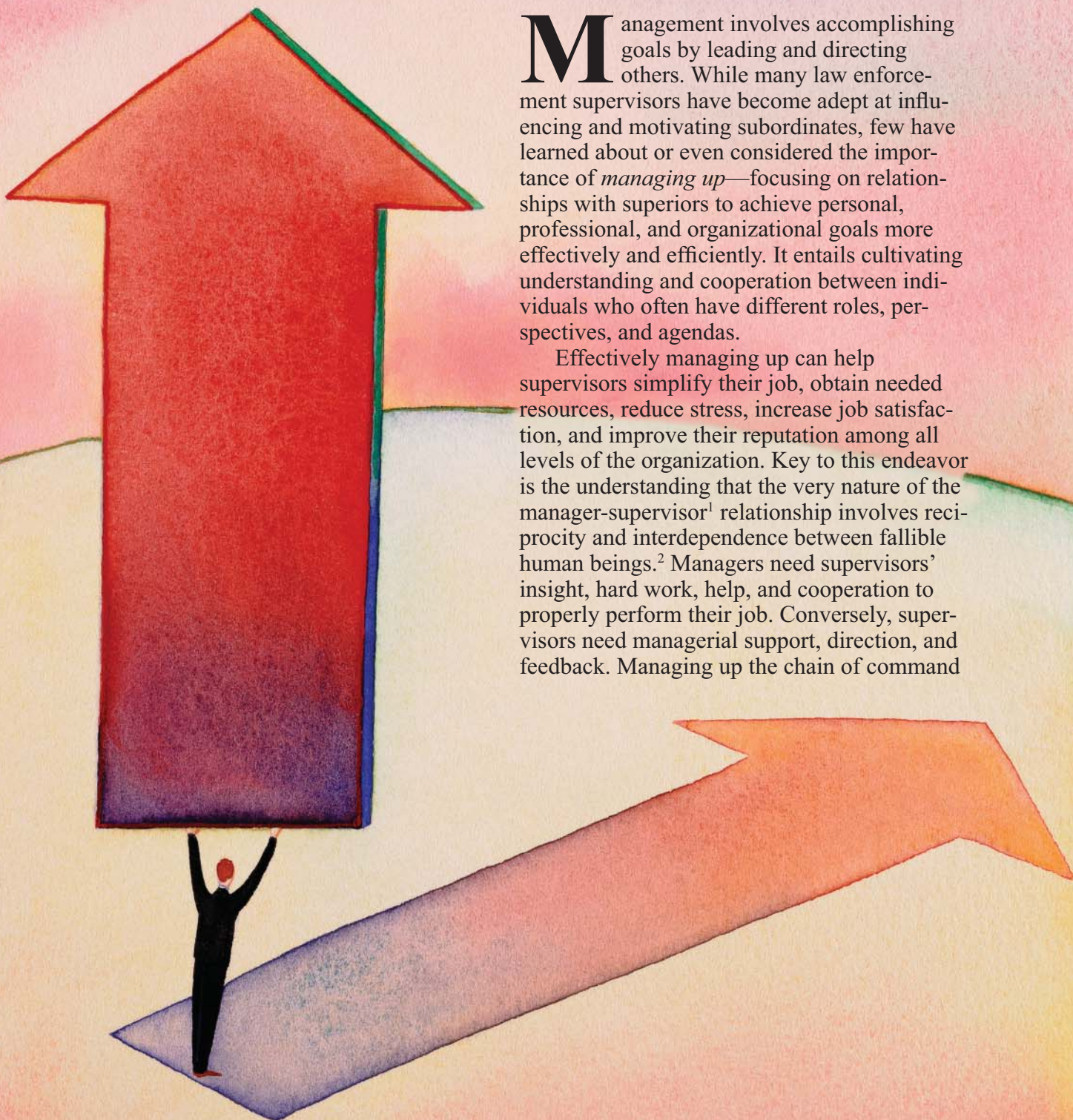
Bulletin Reports is an edited collection of criminal justice studies, reports, and project findings. Send your material for consideration to: *FBI Law Enforcement Bulletin*, FBI Academy, Law Enforcement Communication Unit, Hall of Honor, Quantico, VA 22135. (NOTE: The material in this section is intended to be strictly an information source and should not be considered an endorsement by the FBI for any product or service.)

The Art of Managing Up

By TRACEY G. GOVE, M.P.A.

Management involves accomplishing goals by leading and directing others. While many law enforcement supervisors have become adept at influencing and motivating subordinates, few have learned about or even considered the importance of *managing up*—focusing on relationships with superiors to achieve personal, professional, and organizational goals more effectively and efficiently. It entails cultivating understanding and cooperation between individuals who often have different roles, perspectives, and agendas.

Effectively managing up can help supervisors simplify their job, obtain needed resources, reduce stress, increase job satisfaction, and improve their reputation among all levels of the organization. Key to this endeavor is the understanding that the very nature of the manager-supervisor¹ relationship involves reciprocity and interdependence between fallible human beings.² Managers need supervisors' insight, hard work, help, and cooperation to properly perform their job. Conversely, supervisors need managerial support, direction, and feedback. Managing up the chain of command



in the, perhaps, top-down, quasi-paramilitary atmosphere of a law enforcement organization may not appear feasible, especially considering that supervisors operate from a subordinate position. However, while formal power dynamics can present unique leadership challenges, supervisors must remain focused on changing their *own* awareness and perspective as the basis for influencing those at higher levels. The art of managing up is innate to some and acquired by others through knowledge, practice, and patience.

EMOTIONAL INTELLIGENCE

Supervisors will find an understanding of emotional intelligence (EI) foundational. Coined in the early 1990s, this term has become common in corporate America.³ Its recent surge of popularity stems from research demonstrating that measuring a person's EI quotient and IQ together may more accurately predict job performance and future success than either measure alone.⁴ Also, EI may serve as a key determinant of leadership effectiveness.⁵

EI involves personal and social awareness and proficiency. It refers to the effective management of oneself and relationships with others and encompasses four fundamental capabilities: self-awareness,

self-management, social awareness, and social skill.⁶

Social competence, network-building expertise, and the effective handling of relationships prove paramount for all leaders. A highly intelligent manager with no people skills will fail at some level. Fortunately, leaders can develop and increase EI by tuning and enhancing their internal social radar.⁷ To this end, they must listen to and analyze their own emotions, as well as the verbal and nonverbal signals of others.

CLEAR EXPECTATIONS AND PRIORITIES

Often, law enforcement managers do not clearly articulate goals, expectations, or priorities, placing the burden of discovery on subordinates. When necessary, supervisors need to actively seek clarification about a manager's requirements and preferences. Further,

they should not only gain this understanding but seek clarification regularly as concerns change over time.⁸ Likewise, many supervisors wrongly expect their wants and needs to automatically be known by managers. Such assumptions lead to misunderstandings, resulting in a strained relationship potentially marked by strife, apathy, and inadequate decision making.

Both parties should candidly discuss mutual goals, priorities, strategies, and expectations. Each individual needs a clear picture of what the other wants. This dynamic process opens channels of communication, finds common ground, and diminishes the amount of time wasted on less important projects or tasks. Subsequently, job satisfaction increases with the establishment of clear boundaries, which allows both sides to find their work more fulfilling

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Supervisors must consider their personal characteristics and behavior with the same scrutiny as those of the manager.
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Lieutenant Gove of the West Hartford, Connecticut, Police Department is an adjunct faculty member at Manchester Community College in Manchester, Connecticut.

and their contributions more significant.

Supervisors should take a strategic approach when encountering a manager who is vague or noncommittal about expectations, even when directly asked. If savvy, the supervisor will remain alert for opportunities to engage the manager with informal discussions about how best to manage others and about common objectives.⁹ The development of a mentorship can provide valuable insight into the manager's preferences and thought processes.

KNOWLEDGE ABOUT THE BOSS

Leadership Orientation

In a managing-up effort, supervisors must know the manager well. As they study the boss' work style, supervisors will need to incorporate thorough observation and analytical skills. Fortunately, seasoned supervisors will have many experiences and lessons from "leading down" over the years that they can draw from.

Managers typically follow several possible leadership orientations. Supervisors should distinguish the boss' style to allow for a more tailored approach to interactions. Although the categories overlap somewhat, each carries its own distinguishing features. To this end, supervisors should

determine the answers to several questions concerning the manager.

Is the boss a reader or a listener? Some managers prefer to receive information in writing so they can read and study it. Others prefer face-to-face interaction so they can ask questions and probe issues.¹⁰ Attentive supervisors will comply with the manager's preferred method of communication (e.g., writing a memo) and then verify information by following up with the opposite approach (e.g., speaking in person).

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***...those who take
the time to learn the
art of managing up
will find that it reaps
many rewards....***

”

Is the boss logical or emotional? Logical managers lead mentally, working in a more cognitive domain, and desire thoroughly researched, organized, and detailed information. Approaching this style of boss with a problem before determining a plan or suggestions for a solution will cause friction. Conversely, emotional managers lead from the heart and react instinctively. Supervisors

should use more exuberance when approaching such individuals. Spontaneous, animated, and collaborative decision making proves effective. Supervisors will find that presenting a problem without an immediate solution would prove acceptable as the manager would prefer a brainstorming session. However, to ensure active participation in the process, the supervisor should envision potential solutions beforehand.

Is the boss task or relationship oriented? Well-balanced leaders will have equal concern for the job and the workers who will help get it done. Some, however, shift their focus, depending on their management strategy. Task-oriented leaders structure the work, define goals, allocate resources, and focus strictly on the job while having little interaction with subordinates.¹¹ Working with this style of manager would require the supervisor to focus only on goals, keep meetings short, and ask questions just to seek facts or clarification. Conversely, relationship-oriented leaders strive to maintain warm, close, and friendly ties with subordinates and believe that collaboration best helps to complete the mission.¹² Accordingly, supervisors working with these individuals should focus on regular communication, face-to-face interaction, sharing of ideas or issues, and attempts to look for

personal connections with the manager.

Is the boss participative or directive? Leaders, if well-balanced, will use both styles as appropriate. However, a manager who regularly leans toward being participative will follow a more democratic style of leadership, handing down decisions to supervisors or making them with ample input from subordinates. In this type of relationship, the supervisor will have more discretion and independence, allowing for experimentation, risk taking, and creativity. On the other hand, directive managers consider participation by subordinates unnecessary and make decisions and communicate them to supervisors with little or no explanation.¹³ If faced with such a distinct role, the supervisor should focus on fulfilling goals in the manner prescribed with little deviation from the norm.

Behavioral Clues

Behavioral clues also help identify managers' work styles and serve as indicators of when and how to approach superiors. To this end, supervisors should consider managers'—

- strengths and weaknesses (encouraging strengths and providing support for weaknesses help build a relationship of respect and trust);

- personal and professional goals;
- pressures (from work demands and higher-level administrators);
- preferred times at which to handle problems (at the start of the day, when they feel fresh, or later, near quitting time); and



- idiosyncrasies or pet peeves (e.g., What are they particular about? What irritates them? What humors them? Do they have regular mood swings? Are there any identifiable character flaws or insecurities?).

Last, empathy can help supervisors think outside of their own needs and provide a deeper understanding of what managers require. Consequently, this will further supervisors' attempts at improving interactions and adapting behavior to the boss' expectations and style. As behavioral clues change over time, they need regular evaluation.

AWARENESS OF PERSONAL STYLE

Supervisors also must remain aware of their needs, preferences, and style to ensure that their personal behavior does not impede their attempts at upward influence. To this end, they must explore their predisposition and emotional responses toward authority and supervision. At the extreme, follower behaviors can include counterdependence, resenting the boss' authority and rebelling against their decisions,¹⁴ and overdependence, seeing the boss as infallible and all-knowing and remaining compliant and in agreement, even in the face of an easily altered poor decision.¹⁵ Most supervisors fluctuate somewhere in the middle of these two extremes. Awareness of a personal predisposition allows for alteration and alignment where potential for conflict with a manager exists.

A supervisor who tends toward counterdependence probably will clash with a directive manager. Conversely, an overdependent supervisor may be lost and confused in a relationship with a participative manager. Fortunately, while supervisors cannot change the manager's style, they can tweak their own approach to deal harmoniously and productively with the boss.

Supervisors must consider their personal characteristics

and behavior with the same scrutiny as those of the manager. They must know their leadership orientation, strengths and weaknesses, personal and professional goals, and idiosyncrasies. Reflecting on past experiences will help with this endeavor. Supervisors should adjust and align themselves as appropriate for maximum influence.

COMMUNICATION

When communicating, particularly “communicating up,” supervisors will find assertive (not aggressive or passive) communication effective in speaking the truth clearly, directly, and respectfully in a positive and confident tone. This form of expression requires conscious effort as supervisors must remain aware of their every action and be considerate of the manager. Such positive efforts build trust and encourage a similar response from superiors.

Supervisors must communicate regularly with managers to keep them informed, ensuring that the boss is not caught off guard when a superior asks a question. Although police supervisors need the authority to make some decisions on their own, they must keep the manager abreast of issues, problems, progress, and the departmental undercurrent (not rumors or gossip, but the pulse of the line

staff, something that managers may not perceive simply by virtue of their position).

One management guru even suggested the concept of “word magic,” knowing precisely which key words will resonate positively and negatively with the boss.¹⁶ Important and powerful, words, at times, must be chosen carefully.

“

***Managing up...
is a continuous
journey of learning
and self-development
requiring conscious
effort, patience, and,
perhaps, a bit of
trial and error.***

”

Using the wrong word can trigger an adverse reaction, whereas making an appropriate choice can persuade, calm, or inspire.

Specific phrases also fit this concept. For example, many managers instantly tune out when a conversation begins with the qualifier “with all due respect.” Frequently, people perceive what follows as anything but respectful. Avoiding such annoyances can help improve communication. This represents another important

step in adapting to the manager’s personality and preferences.

Attendant with communicating up is the concept of “listening down.” To create an organizational culture of managing up, supervisors also must tune their social radar to those at lower levels. They should encourage and guide subordinates they identify as embarking on a managing-up effort. Further, as supervisors practice the techniques themselves, they will model valuable behavior to those at lower levels.

ADAPTABILITY AND AUTHENTICITY

The overall formal adaptability required of a supervisor takes much thought and hard work. One management professional best characterized the process as channeling only those “bits” of the personality relevant for the situation or manager.¹⁷ This self-knowledge permits supervisors to be responsive and flexible, employing parts of their personality that best meet the manager’s immediate needs. This is comparable to the social flexibility people expend on a daily basis in every important relationship, both business and personal.¹⁸ It allows the supervisor to develop a wide-ranging interpersonal skill set that provides for a more effective and efficient method of achieving personal, professional, and organizational goals.¹⁹

Of course, supervisors should remain genuine and accomplish this while keeping their values, identity, and character intact. They must painstakingly earn and carefully manage a reputation for authenticity.²⁰ As law enforcement leaders know, officers excel at reading others and will immediately recognize insincerity or fraudulent behavior. Such deceit will cause not only superiors but also officers below the supervisor to lose respect and feel slighted. Once such a mistake is made, it is hard to bounce back.

CONCLUSION

Most supervisors have the basic skills needed to direct, coach, and motivate those at lower levels. Some had to learn and nurture these skills; others found them instinctive. Managing up is no different. It is a continuous journey of learning and self-development requiring conscious effort, patience, and, perhaps, a bit of trial and error.

Of course, managing up does not preclude disagreements from time to time. No attempt at upward influence—and no relationship—ever will be perfect. However, those who take the time to learn the art of managing up will find that it reaps many rewards, not only for the individual supervisor but for the entire organization. ♦

Endnotes

¹ The author uses the terms *manager* (superior) and *supervisor* (subordinate) to refer to different levels of management within an agency.

² John Gabarro and John Kotter, "Managing Your Boss," *Harvard Business Review* 83, no. 1 (2005): 92-99.

³ Daniel Goleman, *Emotional Intelligence* (New York, NY: Bantam, 1995). The term was conceptualized by Dr. Peter Salovey and Dr. John Mayer.

⁴ Victor Dulewicz and Malcolm Higgs, "Emotional Intelligence: A Review and Evaluation Study," *Journal of Managerial Psychology* 15, no. 4 (2000): 341-372.

⁵ Robert Kerr, John Garvin, Norma Heaton, and Emily Boyle, "Emotional Intelligence and Leadership Effectiveness," *Leadership and Organizational Development Journal* 27, no. 4 (2006): 265-279.

⁶ James Kouzes and Barry Posner, *The Leadership Challenge* (San Francisco, CA: Jossey-Bass, 2002).

⁷ Supra note 4.

⁸ Liz Simpson, "Why Managing Up Matters," *Harvard Management Update* 7, no. 8 (2002): 3-5.

⁹ Supra note 2.

¹⁰ Supra note 2.

¹¹ Randall Ponder, "Determine Your Leadership Style"; retrieved from <http://www.entrepreneur.com/management/leadership/learningtolead/article80104>.

¹² Ibid.

¹³ Ibid.

¹⁴ Supra note 2.

¹⁵ Supra note 2.

¹⁶ Peter Drucker, "How to Manage Your Boss," *Management Review* 66, no. 5 (1977): 8-12.

¹⁷ Rob Goffee and Gareth Jones, "Managing Authenticity: The Paradox of Great Leadership," *Harvard Business Review* 83, no. 12 (2005): 86-94.

¹⁸ Supra note 8.

¹⁹ Jennifer Laabs, "Managing-Up Secrets: I Did It the Boss's Way," *Workforce Management* (August 2000): 22.

²⁰ Supra note 17.

Wanted: Notable Speeches

The *FBI Law Enforcement Bulletin* seeks transcripts of presentations made by criminal justice professionals for its Notable Speech department. Anyone who has delivered a speech recently and would like to share the information with a wider audience may submit a transcript of the presentation to the *Bulletin* for consideration.

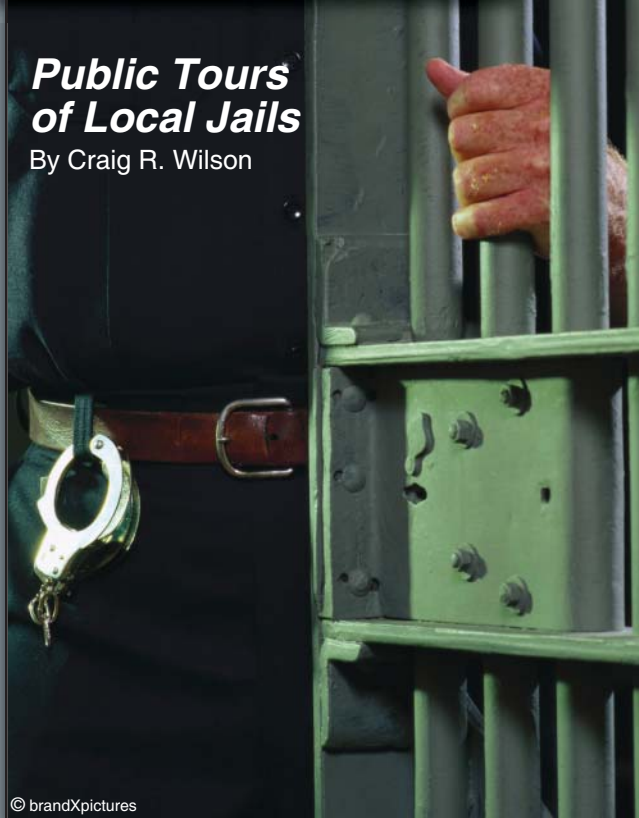
As with article submissions, the *Bulletin* staff will edit the speech for length and clarity but, realizing that the information was presented orally, maintain as much of the original flavor as possible. Presenters should submit their transcripts typed and double-spaced on 8 1/2- by 11-inch white paper with all pages numbered. When possible, an electronic version of the transcript saved on computer disk should accompany the document. Send the material to:

Editor, *FBI Law Enforcement Bulletin*,
FBI Academy,
Law Enforcement
Communication Unit,
Hall of Honor,
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telephone: 703-632-1952,
e-mail: leb@fbiacademy.edu

Police Practice

Public Tours of Local Jails

By Craig R. Wilson



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If citizens asked to tour their local jail, what would they be told? Every jurisdiction should consider its policies in view of this valid question. While employees at correctional facilities must ensure institutional security, they still can safely allow some access to members of the public.

Many jails provide specially organized tours for college students, civic groups, and special-interest organizations. However, not all facilities make provisions for the general public as a whole, thereby foregoing the many benefits that opening jails to citizens offers.

REASONS TO ALLOW PUBLIC TOURS

Officials at some facilities may cite concerns over security, liability, or negative public opinion as reasons for not allowing community members to tour jails. However, these visits seemingly would pose no such threats.

For instance, detention facilities already contain the most dangerous elements of society, so a citizen with a civic interest and no pending criminal matters likely would not jeopardize security. Further, many institutions already receive routine visits without incident by a variety of civilians affiliated with specific programs. And, a clearly defined tour plan, proper notices, and hold-harmless agreements greatly would reduce the potential for liability.¹ Finally, if jail administrators are concerned about negative public opinion, perhaps, this issue warrants an analysis to verify that the facility has adequate resources and performs appropriately.

Openness to the Public

Allowing citizens to obtain knowledge about jail operations is consistent with government standards of openness. Current laws and practices in many jurisdictions require public release of all records not specifically protected by legal authority.² The long-standing principle of transparency in government also provides citizens with access to nearly all sessions of federal, state, and local legislative bodies, as well as most types of court proceedings. All government tiers and entities should follow this principle.

The Freedom of Information Act requires federal departments to disclose general documents and records to any person.³ Some state and local governments have gone even further. For instance, in 2004, California voters amended the state constitution to guarantee the right of access to information concerning the conduct of the people's business.⁴ Elected officials, academicians, public-policy experts, newspaper editors, civil libertarians, and watchdog groups all have praised such transparency.

Education of the Community

Law enforcement and corrections agencies enjoy certain protections because of the nature and sensitivity of their work, sometimes resulting in an organization's absence from the public conscience.

Not only do correctional facilities carry out important functions for society, including protection from criminals, care and custody of inmates, and a significant role in the administration of due process rights, but their high operational costs represent a significant burden on the taxpayer. A lack of public knowledge concerning jails can prove not only unfair for the taxpaying citizen but detrimental to the correctional facility.

For instance, an absence of awareness has resulted in most Americans feeling that life in jails does not affect them.⁵ Unfortunately, what happens inside these facilities can spill out in a variety of forms, such as violence on the streets, increased gang recruitment and criminal sophistication, wasted and unproductive lives, and, occasionally, lawsuits that cost taxpayers.⁶

Further, the expenses of correctional facilities—including operations and maintenance—impact citizens. For example, Santa Cruz County, California, operates a jail with an average daily population of 600 inmates, and the detention bureau budget is \$18.7 million, approximately 5 percent of the general county budget.⁷ In addition to operating costs, expensive lawsuits can stem from complaints, such as excessive force, overcrowding, segregation policies, and inadequate medical care. And, eventually, most agencies need to build new jail facilities to increase capacity or to replace aging structures. The more the public understands the importance of properly functioning detention systems, the more likely they will support measures to improve, maintain, or replace them.

With so much at stake, perhaps, the time has come for correctional facilities to strive for more public awareness—consistent, of course, with the legitimate concerns about safety and security. Certainly, many aspects of jail operations

(e.g., blueprints and security procedures) require confidentiality because disclosing them would increase the possibility of escape, violence, or the introduction of contraband. However, this is not true of every area of operation, and those that will not become compromised by accessibility, thereby affecting the security of the institution, should be more open to the public.

Citizen Involvement

Generally, jails have improved in recent decades, largely due to regulatory efforts and professional correctional standards. But, despite the best intentions of the legislature, courts, and facility managers and employees, there are no guarantees that jails always will function as planned.

Regulatory agencies play an important but limited role in the quality of jail operations. For instance, the California Correctional Standards Authority conducts biennial facility inspections but not routine investigations or oversight.⁸ As another example, civil grand juries conduct annual inspections of the condition and management of public detention facilities but have only an

advisory role.⁹ In other words, while such entities take part in assessing correctional systems, they cannot replace the benefits provided by genuine public interest. Although a handful of nonprofit organizations, such as the American Civil Liberties Union and Amnesty International, exist that advocate for prisoner rights, these agencies have only limited impact. To make sure that correctional institutions operate effectively, increasing the number of available safeguards proves helpful.

To this end, the Commission on Safety and Abuse in America's Prisons recommended that jails allow public visits, stressing that not only could citizens learn about problems, as well as

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While employees at correctional facilities must ensure institutional security, they still can safely allow some access to members of the public.
”

good practices, in facilities but tours could serve as informal monitoring mechanisms. Citizens do not have to feel sympathetic toward inmates to have an interest in a properly maintained and operated jail. They can serve their part—along with laws, court opinions, and the agency’s policies and professionalism—in ensuring that minimally acceptable standards for correctional facilities exist and that they are enforced. Further, the presence of citizens could help to normalize the custody environment by allowing community standards to influence inmate behavior.¹⁰ While officials may find it difficult to generate public interest in jails, they should make opportunities for education and involvement available.

TOURS IN SANTA CRUZ COUNTY

Structured Program

The Santa Cruz County Sheriff’s Office, in view of its commitment to community policing and openness with the community, began its public jail tour program in November 2006. Currently, the agency offers tours only to adults (not on probation or parole or with pending criminal matters), 10 participants at a time.

On the department’s Web site, interested persons can review detailed information about the program.¹¹ After acknowledging the notices of risk and liability and agreeing to abide by all rules and guidelines, they can submit a request for a tour, along with identifying information, which allows for basic record checks. The agency later will notify them via e-mail of approval or denial.

To emphasize the safety and security of the participants and the facility, the department closely monitors these visits and diligently enforces its rules, which govern conduct, attire, and prohibited items. When visitors arrive at the scheduled time, staff members check their identification and give

them a waiver of liability to review and sign that the agency retains. A correctional officer able to explain how the jail operates and what it is like to work there leads all tours, which last between 45 and 60 minutes and encompass all common areas throughout the facility except maximum-security housing.

Positive Results

Through the program, the agency has enjoyed the opportunity not only to educate citizens about the facility and its operations but to nurture positive relationships with the community at large. For instance, local media, including newspaper and television, have responded favorably to the program and to the department’s openness and spirit of public service and have offered extended coverage to inform citizens about the tours.

Participants who have toured the jail have expressed surprise about the cleanliness and order within the facility, as well as the professionalism and knowledge of the staff. Several citizens have expressed interest in corrections or related fields, such as correctional nursing or drug and alcohol abuse counseling.

The department also is forming closer relationships with area universities and hopes to eventually work with the academic community to draw on its resources to study relevant corrections issues, such as overcrowding strategies, alternatives to incarceration, and justice and equity within the criminal justice system. Further, the sheriff plans to notify local college professors about the possibility of incorporating jail tours to add real-world experience to their curriculum. Besides receiving an educational opportunity, students who otherwise would be unfamiliar with corrections may consider a career in law enforcement.

“
...the department
closely monitors these
visits and diligently
enforces its rules...
”

Example of Jail Tour Guidelines

For eligibility, visitors must—

- be at least 18 years old;
- possess government-issued photo identification; and
- not be on parole or probation; have an arrest warrant or a pending criminal matter; or be a sex, arson, gang, or narcotics registrant.

Appropriate conduct is required; visitors must—

- follow all instructions given by correctional officers;
- not communicate with or pass an item to any inmate;
- wear a visitor badge at all times in the facility;
- remain with the tour group at all times;
- not touch any equipment; and
- not be under the influence of illegal drugs, alcohol, or judgment-impairing medication.

All visitors are subject to search before entrance and must not possess any prohibited items, which include—

- weapons of any kind, including firearms, ammunition, knives, or chemical sprays;
- tools, explosives, flammables, or chemicals;
- illegal drugs, alcohol, tobacco, matches, or lighters;
- electronic devices, such as cell phones, cameras, pagers, and audio or video recorders; and
- keys, purses, backpacks, bags, or bulky items.

Visitors must dress appropriately and not display—

- clothing, accessories, or tattoos that contain images, words, or symbols that are offensive, obscene, gang or hate related, distracting, or disruptive;
- transparent or revealing garments;
- shorts or sandals;
- spaghetti strap, strapless, halter, midriff, tube, or tank tops; slingshot shirts; or short dresses or skirts; or
- clothing or accessories with spikes, razor blades, or other sharp objects.

Additionally, the agency has found that several professionals associated with the criminal justice system, including court support staff and members of community-based organizations who provide peripheral services to inmates, now have the opportunity to see how the jail functions. As a result, they have gained a greater understanding of the circumstances surrounding the inmates, many of whom they will deal with upon release.

CONCLUSION

Jails represent a part of society that is not necessarily at the forefront of the public conscience. Jurisdictions can help change that by allowing and encouraging tours of their facilities. Certainly, valid reasons exist to do so.

The Santa Cruz County Sheriff's Office has a successful program in place and has enjoyed many benefits. Such openness results in an educated, interested, and supportive community. Other

jurisdictions should consider allowing tours of their facilities. ♦

Endnotes

¹ Agencies should consult with legal counsel for advice and assistance concerning notices and waivers.

² Public disclosure laws vary among municipal, county, and state government agencies.

³ For more information, see <http://www.usdoj.gov/oip/index.html>.

⁴ California Constitution Article 1, Section 3(b)(1) and California Government Code 6250.

⁵ For more information, see <http://www.prisoncommission.org>.

⁶ For more information, see http://www.prisoncommission.org/pdfs/Confronting_Confinement.pdf.

⁷ County of Santa Cruz, California, Detention and Correction Budget, Fiscal Year 2005-2006.

⁸ California Penal Code Section 6031.

⁹ California Penal Code Section 919.

¹⁰ Supra note 6.

¹¹ For more information, see <http://www.scssheriff.com>.

Lieutenant Wilson serves with the Santa Cruz County, California, Sheriff's Office.

Unusual Weapon

Collar Dagger

These photos depict a sheath made of plastic to be sewn into clothing and hidden. This weapon is invisible to a magnetometer. Law enforcement officers should be aware that offenders may attempt to use this unusual weapon.



Dagger in plastic sheath



Leadership Spotlight

Leading from the Middle

The price of greatness is responsibility.

—Sir Winston Churchill

Without question, we in the law enforcement community tasked with investigating criminal activity and prosecuting those who break the law have much responsibility. Those among us who seek positions of supervision and leadership carry an even heavier burden.

Although difficult to dismiss the pressures of the person who, as the designated authority, must make decisions in real time, often the leadership assumed by those among the ranks ultimately decides the outcome of an event or situation. Clearly, those who step forward and emerge as leaders frequently possess such qualities as courage, stability, charisma, and a sense of mission. However, certain other unseen traits or intangibles help some to rise to the occasion when needed. We see examples of this type of leadership in many areas of everyday life, including business and sports. The manager, coach, or the most talented individual or player is not always the organization or team leader. Rather,

it is the person with abilities to inspire others to be better, create a feeling of confidence among the troops, and show the way through example and hard work who ultimately emerges as the true leader.

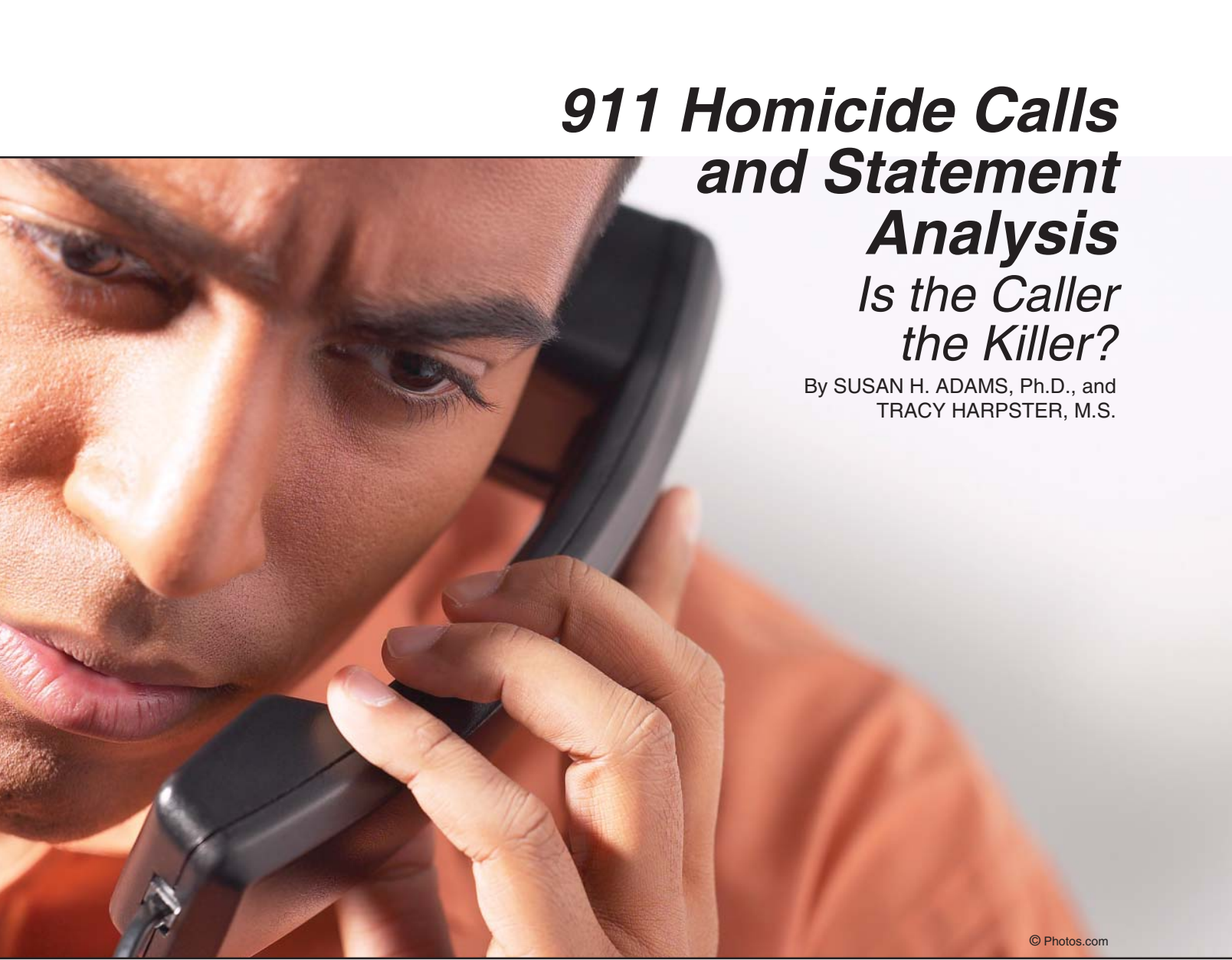
In our everyday lives, opportunities abound to lead others or to set the right example to follow. Whether the leadership comes from position or situation, if it is based on a sound moral and ethical foundation, it will benefit others.

Those who take the lead and assume unofficial leadership positions

RESPONSIBILITY

or roles often do not get recognition from their organizations for the contributions they make. However, this is of little importance to them. Their sense of accomplishment is measured by the respect and admiration they receive from those who truly matter—their peers. ♦

Kevin J. Crawford, a special agent assigned to the Leadership Development Institute at the FBI Academy, prepared Leadership Spotlight.



911 Homicide Calls and Statement Analysis

Is the Caller the Killer?

By SUSAN H. ADAMS, Ph.D., and
TRACY HARPSTER, M.S.

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A frantic young man called 911: “Get an ambulance to 168 Birch. My friend’s been shot!” In another instance, the father of a 1-year-old boy reported, “Yes, ma’am...my, my son can’t breathe.”

Do 911 homicide calls contain clues that could help investigators identify the killer? In these two examples, the first caller demanded immediate

medical assistance for his friend and did not commit the crime. In the second instance, the father politely reported his child’s condition, never asking for help for his son or expressing any urgency. He had shaken the boy, who later died.

Such calls provide invaluable clues to investigators because the caller, in fact, may have committed the crime. It is not unusual for homicide

offenders to contact 911 without revealing their involvement in the murder.¹

Homicide calls are unique. They originate from distressed callers confronted with urgent life-and-death situations. These initial contacts can contain the most valuable statements—those least contaminated by suspects’ attempts to conceal the truth, attorneys’ advice to remain silent, and investigators’

leading questions.² In these instances, the dispatcher simply asks, “What is your emergency?” and the caller responds with insightful, uncontaminated verbal and vocal clues.

Fortunately, 911 calls are recorded. Therefore, investigators have access to a transcript, the actual call, and, thus, important evidence. They can examine both the words and the tone of voice. An analysis of the calls can provide investigators with immediate insight and interviewing strategies to help solve homicide cases.

The authors analyzed 100 homicide calls from adjudicated cases to examine the differences between innocent and guilty callers.³ Innocent individuals made 50 of the calls, and guilty persons who either committed the homicide or arranged for another person to do so made the other half. Specific differences appeared that helped distinguish innocent callers from guilty ones during an examination of the answers to the following three questions: 1) What was the call about? 2) Who was the call about? and 3) How was the call made?

WHAT WAS THE CALL ABOUT?

Request for Help

When analyzing a 911 homicide call, the investigator’s

primary question should be, Was the caller requesting assistance? If not, why not? Was the individual simply reporting a crime? Almost twice as many innocent callers (67 percent) in this study asked for help for the victim than did guilty callers (34 percent).

Relevance of Information

During the dispatchers’ questioning, few of the guilty 911 callers actually lied unless forced to. Most of them deceived by omission, rather than commission. In lieu of offering the complete truth, such as I did it, many provided rambling information, instead of concise points; confusing, rather than clear, details; and extraneous information, instead of relevant

facts. These details, although, irrelevant to the dispatchers’ questions, frequently related to the criminal act. People who provide more information than necessary may be attempting to convince someone of a deceptive story, rather than simply conveying truthful information.⁴ In this regard, investigators must listen carefully to the complete call because the caller may have provided information that reveals vital clues to the homicide.

Dispatcher: What is your emergency?

Guilty caller: Um, I... I need someone out here right now for my little daughter.

Dispatcher: What’s going on?



Dr. Adams, a retired FBI special agent, teaches statement analysis, interviewing techniques, and interpersonal communication.



Lieutenant Harpster of the Moraine, Ohio, Police Department supervises its Operations Division.

Guilty caller: She threw up water. She...um...when she... when she got off the stool... she was drinking water, and we told her to get down, and she threw herself down off the floor...off the stool.

The caller, the father of an adopted 4-year-old girl, mentioned water twice. Although extraneous to the question asked, this had critical relevance to the case. The investigation revealed that the girl disobeyed the caller by taking a sip of her sister's (his biological daughter) drink. As punishment, the man tied the victim's hands behind her back and forced her to drink 64 ounces of water. She died of hyponatremia, a dangerously low sodium concentration in the blood, caused by rapid ingestion of the water.

Innocent callers, instead of adding extraneous information, were more likely to focus on the objective—getting medical assistance for the victim as soon as possible. According to the four maxims of communication, people should provide accurate, concise, clear, and relevant information;⁵ most innocent callers in the study did so to obtain immediate medical assistance.

Dispatcher: What is your emergency?

Innocent caller: I'm at the East End Bar. Please, there's been gunfire. People are running out of the building.

We need help as soon as possible.

Forty-four percent of the 911 homicide callers included extraneous information in their call. Of those, 96 percent were guilty of the offense, and only 4 percent were innocent. Extraneous information was the strongest indicator of guilt in the study.

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It is not unusual for homicide offenders to contact 911 without revealing their involvement in the murder.

”

Attitude Toward the Victim

Blame or insults toward a dying victim in 911 calls indicate strained relationships. As an example, a father called 911 to report that his 4-year-old daughter was in serious medical distress.

Dispatcher: Do you know what's wrong with your daughter?

Guilty caller: Not a clue.

Dispatcher: Has she taken any medications?

Guilty caller: Maybe. She's very, very sneaky. She threw a huge temper tantrum earlier. She might have taken something.

As his daughter lay dying, the father unexpectedly insulted her with the description “very, very sneaky” and referred to her “huge temper tantrum.” He later was convicted of her murder.

Similarly, individuals should not blame dying victims for the predicament. For illustration, a woman called 911 to report that her husband had been shot.

Dispatcher: Was this accidental or on purpose?

Guilty caller: We were having a domestic fight, and he threw me on the bed and grabbed my purse so I couldn't leave.

Instead of answering the dispatcher's question, the wife blamed her husband for his fatal injury, suggesting that he was responsible for his death because he threw her on the bed and stopped her from leaving. The subsequent investigation revealed that the woman intentionally shot and killed him; she was convicted of his murder.

Five percent of the callers in the study insulted or blamed the victim, and all were guilty of the homicide. No innocent callers did so; they simply sought help (e.g., “A kid fell down the steps. He's bleeding real bad. Hurry!”).

Accuracy of Facts

Innocent callers in this study were much more likely than guilty ones to correct erroneous information when additional details revealed discrepancies.

Dispatcher: 911. What is your emergency?

Innocent caller: There's a man been shot down the hall of my apartment.

Dispatcher: Can you check and see if he has a pulse?

Innocent caller: OK.
(The caller checks on the victim.)

Innocent caller: I thought it was a man, but it's a lady. It's a lady, and I didn't feel a pulse.

The caller was innocent, did not know the victim, and had assumed that the person was male. After learning additional information, he corrected the previous inaccuracy about the victim's gender.

Also, innocent 911 callers remained more consistent regarding facts. In contrast, several guilty callers provided information that conflicted with previously provided details and failed to resolve the discrepancy. For example, a mother contacted 911 to report that her baby was not breathing.

Dispatcher: How long has your baby not been breathing?

Guilty caller: Just now. She's been fine for the last few hours.

Dispatcher: Has she been sick lately?

Guilty caller: No, we were just sleeping, and the phone woke me up.



The caller advised the dispatcher that her baby had "been fine for the last few hours." However, she later added a conflicting statement indicating that the phone just woke her. How could she have known her child's condition? The mother was charged and convicted of killing her daughter.

Twenty-eight percent of the 911 homicide callers gave conflicting facts and failed to correct them; all were guilty of the offense. Six percent of the callers corrected themselves when they learned additional information, and all of these were innocent.

WHO WAS THE CALL ABOUT?

Topic of the Call

When contacting 911, innocent individuals remained focused on the victim. For example, one caller urgently stated, "This guy's hurt real bad. Tell them to hurry!"

Why would individuals call the emergency line and concentrate on themselves, reporting a problem without asking the dispatcher for assistance for the person who needs it? The following dialogue occurred when a father called 911 concerning his son:

Dispatcher: 911. What is your emergency?

Guilty caller: I have an unconscious child who is breathing very shallowly.

In this case, the father took personal possession of a problem ("I have") and referred to his problem (his dying son) as "an unconscious child." When the paramedics arrived at the residence, the child already had died. The father had assaulted his son, causing cerebral hemorrhaging. Twelve percent of the 911 callers in the study took personal possession of the problem. All were guilty of the homicide.

Focus of the Help

When individuals call 911 because someone is in critical

condition, they logically will ask for help for the victim, even if the callers themselves need assistance. However, when callers request help only for themselves and not the victim, homicide investigators should realize that the caller could, in fact, be the killer. As an example, a young man called 911 to report that his father was dead.

Dispatcher: What happened to your father?

Guilty caller: Say something to me! Help me!

In this example, the caller wanted help for himself and never asked for help for his father. The investigation revealed that the son shot his sleeping parent. The man died of the wound, and the son was convicted of the crime. Seven percent of the callers in the study requested help for themselves and not for the victim. All were guilty of the homicides.

Conversely, 41 percent of callers requested help for the victim alone; 68 percent of these were innocent, and 32 percent were guilty. The following call serves as an example of an innocent individual demanding assistance for a victim:

Dispatcher: What's your emergency?

Innocent caller: Both her eyes are open, and blood's coming out of her mouth. Send somebody!

Attitude Toward the Victim's Death

People can survive horrific injuries, such as gunshot wounds to the head and stab wounds to the heart. Therefore, a 911 caller should demand help for the victim, even if survival appears doubtful. The caller should not accept the victim's death before the person's actual condition becomes known.

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...homicide investigators should realize that the caller could, in fact, be the killer.

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For instance, patrol officers who have informed a citizen that a family member has been killed in a traffic accident know that people often respond with denial because of their inability to immediately process such shocking information. The surviving family members cannot accept the fact that their loved one is dead, and they want every lifesaving measure attempted, even demanding medical help for individuals in full rigor. The following quote is from an innocent witness trying

desperately to save a life: “He don't have a pulse. He don't have nothing! Just please send somebody.”

However, a caller stating that a victim is dead without absolute proof (e.g., decapitation) would raise serious questions. An example illustrates this point:

Dispatcher: 911. What is your emergency?

Guilty caller: I just heard a gunshot in the apartment next door, and I went over. My neighbor is dead!

In this case, the caller immediately declared the mortality of the victim. The subsequent investigation revealed that the caller had been romantically interested in his neighbor. He later confessed that he killed the victim because she refused to date him.

In the homicides in which mortality was not obvious, 23 percent of the callers accepted the death of the victim. Of this total, all were guilty of the homicide.

HOW WAS THE CALL MADE?

Voice Modulation

Investigators gain a distinct advantage when analyzing 911 calls in that they can hear the caller's voice, rather than relying solely on a written transcript. How someone delivered a message can offer

911 COPS (Considering Offender Probability in Statements) Scale

To use the COPS Scale, investigators simply place a mark at the appropriate end (toward guilty or innocent) of the line corresponding with each descriptor and then determine the side on which the majority of marks appear. In the following example, most of the marks indicated guilt. The caller later confessed to coercing her boyfriend into killing her husband.

Dispatcher: 911. What is your emergency?

Caller: Please help me!

Dispatcher: What's going on?

Caller: My husb.... I just walked in the house. My husband's dead!

Dispatcher: Ma'am, how do you know he's dead?

Caller: He's not breathing. He's cold!

Dispatcher: OK. We're on our way to help you.

Caller: Please help me! Please help me! Please help me!

Dispatcher: OK. Stay on the line with me.

Caller: He's dead! Somebody shot my husband! I just got home.
Please help me! I don't know how long he's been dead.

Innocent Callers

Guilty Callers

What was the call about?

Request for help for victim	<input type="checkbox"/>	-----	<input checked="" type="checkbox"/>	No request for help for victim
Relevant information	<input type="checkbox"/>	-----	<input checked="" type="checkbox"/>	Extraneous information
Concern for victim	<input type="checkbox"/>	-----	<input type="checkbox"/>	Insulting or blaming victim
Correction of facts	<input type="checkbox"/>	-----	<input type="checkbox"/>	Conflicting facts

Who was the call about?

Help requested for victim	<input type="checkbox"/>	-----	<input checked="" type="checkbox"/>	Help requested for caller only
Focus on victim's survival	<input type="checkbox"/>	-----	<input type="checkbox"/>	Focus on caller's problem
No acceptance of victim's deaths	<input type="checkbox"/>	-----	<input checked="" type="checkbox"/>	Acceptance of victim's death

How was the call made?

Voice modulation	<input checked="" type="checkbox"/>	-----	<input type="checkbox"/>	No voice modulation
Urgently, rudely demanding	<input type="checkbox"/>	-----	<input type="checkbox"/>	Polite and patient
Cooperation with dispatcher	<input type="checkbox"/>	-----	<input type="checkbox"/>	Resists cooperation
No self-interruptions	<input type="checkbox"/>	-----	<input checked="" type="checkbox"/>	Self-interruptions

as much insight as the message itself. Did the caller use voice modulation with loud volume, fast speed, varied pitch, and emotional tones? Or, did the caller lack voice modulation by communicating in a low, slow, even, and unemotional manner? Emergency situations demand urgency, and previous studies of homicide statements have shown that the presence of emotion indicates veracity.⁶

Most often in this study, when making genuine demands for medical assistance for critically injured victims, callers displayed voice modulation, rather than an even-paced, emotionless, and robotic tone. Yet, the absence of voice modulation was even more informative than its presence. Only 4 percent of innocent callers had no voice modulation, while 35 percent of guilty callers lacked voice modulation.

Urgency of the Call

When individuals call 911 to obtain medical assistance in a grave medical emergency, they logically will make an urgent demand for help. A study of arson emergency calls in London supported this claim.⁷

The following exchange occurred after an innocent witness observed a drive-by shooting:

Dispatcher: 911. What is your emergency?

Innocent caller: I need an ambulance at 78 North Central Street! Hurry up!

Dispatcher: What's the phone number you are calling from?

Innocent caller: Just get to 78 North Central!

Dispatcher: What's your phone number, sir?

Innocent caller: She's shot in the head! I don't know! Just send somebody!

“

Investigators gain a distinct advantage when analyzing 911 calls in that they can hear the caller's voice....

”

The caller demanded an immediate response from medical personnel. This contrasted with callers who patiently and politely used such words as *please* and *thank you* or calmly took their time, beginning their call with the casual word *hi*.

A woman who murdered her spouse called 911 to report that an unknown assailant had shot her and her husband. The

opening dialogue in the call is an example of that of a guilty caller.

Dispatcher: 911. What's your emergency?

Guilty caller: Hi, I've been shot, and my husband has been shot.

The wife used the unexpected friendly greeting “Hi” with the dispatcher while her husband, who had been shot in the head, lay dead on the floor. The wife should have remained focused on demanding immediate medical assistance for her spouse. The order of her words also provided insight as she referred to herself first and to her critically wounded husband last. The investigation revealed that the woman intentionally shot and killed her husband and superficially wounded herself.

An example of an urgent demand for help involved an innocent mother who discovered that her infant had died during the night, and she screamed the following comments:

Dispatcher: Is the baby breathing?

Innocent caller: What the [expletive] is taking them (paramedics) so long!

In this case, the mother did not care about politeness and civility. She focused only on obtaining immediate medical assistance for her baby. The

investigation revealed that the infant had accidentally wedged his head between the mattress and the crib and suffocated during the night. He had been deceased for several hours and was blue and cold to the touch before his mother discovered his condition. However, she refused to accept the death of her child and was demanding and rude to the dispatcher in an effort to get immediate help.

Thirty-seven percent of the callers in the study made urgent and demanding pleas for help, and each was innocent. This finding was the strongest indicator of innocence in the study. Conversely, 22 percent of the callers were patient and polite, and all were guilty of the homicides.

Seven percent of the callers were so patient and took so much time during their call that they even failed to use contractions during the alleged emergency. All were guilty.

Guilty caller: My wife has been shot.

Dispatcher: Do you know who did it?

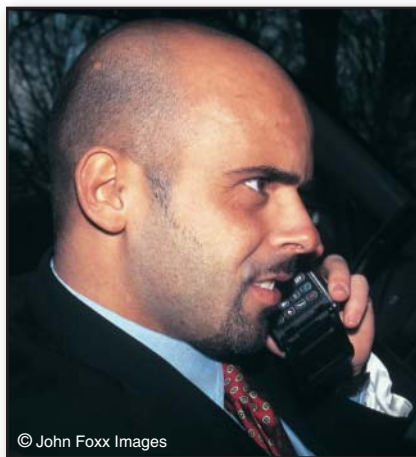
Guilty caller: No, I do not.

Level of Cooperation

If focused on obtaining assistance, 911 callers cooperate by answering questions concerning the crime. In this study, innocent individuals did

so more frequently than guilty callers, who resisted full cooperation by not responding to the dispatchers' inquiries concerning the criminal act, failing to perform CPR as instructed, repeating words, and providing unclear responses.

A caller reported that his girlfriend needed medical help. The dispatcher asked a question to gain more information, but the individual did not cooperate.



Dispatcher: Did something happen to her? Was this more than just an argument?

Guilty caller: That's all I'm trying to report.

In this case, the caller resisted providing any further details regarding the condition of his girlfriend. Officers located the dead girl in her apartment, and the boyfriend was convicted of the offense.

Similarly, a guilty parent called to report a stabbing

incident. The individual subsequently resisted answering the dispatcher's questions.

Guilty caller: They just stabbed me and my kids, my little boys!

Dispatcher: Who did?

Guilty caller: My little boy is dying!

Dispatcher: Who did this?

Guilty caller: They killed our babies....

Such resistance to cooperation existed in 26 percent of the calls. All were made by guilty callers.

Guilty callers also resisted through repetition. People who do not tell the truth tend to repeat words or phrases.⁸ Through repetition, a guilty person can gain time to think of a reasonable answer to an unanticipated question or may avoid answering altogether. An example of repetition occurred in the following communication after a 911 caller reported an assault by an unknown assailant who also had shot her husband.

Dispatcher: Ma'am, do you know what he was wearing?

Guilty caller: Oh God, um... um...oh God, oh God, oh my God...oh my God.

The woman, calm enough to answer other questions, repeated the phrase "Oh God" and never answered this question. If cooperative, she at least should

have attempted to answer the question or explain why she could not do so. In this case, the caller killed her husband and blamed the homicide on a fictitious assailant. Fifteen percent of the 911 homicide callers in the study included repetition during the call. All were guilty of the crimes.

When a 911 caller unexpectedly responds to a dispatcher's relevant question with such comments as Huh? What? or Do what? it reveals a disconnect in the thought process known as the "huh factor."⁹ These responses indicate that callers are caught completely off guard and are not tracking their own answers (unless, of course, excessive background noise prevented them from clearly hearing the dispatcher's questions). For example, a caller reported that his wife suffered a serious accident.

Dispatcher: 911. What is your emergency?

Guilty caller: I just came home, and my wife has fallen down the stairs. She's hurt bad, and she's not breathing!

Dispatcher: How many stairs did she fall down?

Guilty caller: Huh?

When the dispatcher asked a relevant question regarding the accident, the caller, who had

assaulted and killed his wife, could not immediately answer because he had not tracked his own fabricated story. Had the victim actually fallen down stairs, the caller should have known whether she fell down a few stairs or a whole flight and would not have been confused by this unanticipated question. The "huh factor" was present in 12 percent of the homicide calls. All but one of these callers were guilty.

“

Specific differences appeared that helped distinguish innocent callers from guilty ones....

”

Investigators should ask whether the caller continues with one thought process or uses self-interruptions and changes the direction of the topic. In calls containing self-interruptions, the first topic can reveal important clues. In the following example, the husband began to state that his house had been burglarized but changed the topic mid sentence.

Dispatcher: 911. What is your emergency?

Guilty caller: There's been a burg...my wife has been killed, I think!

The critical condition of the caller's wife should have been the primary topic, yet he began with the less critical subject, burglary. The investigation revealed that the caller arranged for an accomplice to burglarize his own residence and traumatize his wife.

Thirty percent of the callers in this study used self-interruptions, and each was guilty. This was the second-strongest correlation with guilt in the study.

CONCLUSION

By examining 911 homicide calls, investigating officers can gain vital clues. While listening to a call and analyzing the transcript, the investigator should ask three critical questions:

- 1) What was the call about?
- 2) Who was the call about?
- and 3) How was the call made?

Asking those three questions, along with a thorough analysis, can give investigators insight as to offender probability. If the caller appears guilty of the homicide, investigators immediately can plan a strategy for interviewing the individual and conducting the subsequent investigation. ♦

Endnotes

¹ Dr. Robert Keppel, unpublished research study indicating that 19 percent

of all homicide reports are phoned in to the police department by the offender posing as an innocent individual (Seattle University).

² Vincent A. Sandoval, "Strategies to Avoid Interview Contamination," *FBI Law Enforcement Bulletin*, October 2003, 1-12.

³ The callers for this study represented 19 states and had the following characteristics: 56 percent were male, and 44 percent were female; 69 percent were Caucasian, and 31 percent were African-American; and all were between the ages of 19 and 68. Victims ranged in age from newborn to 69; 67 percent were male, and 33 percent were female; and 64 percent were Caucasian, 30 percent were African-American, 1 percent were Hispanic, and 5 percent represented other ethnicities.

⁴ Don Rabon, *Investigative Discourse Analysis* (Durham, NC: Carolina Academic Press, 1996).

⁵ Paul Grice, *Studies in the Way of Words* (Cambridge, MA: Harvard University Press, 1989).

⁶ Susan H. Adams, "Communication Under Stress: Indicators of Veracity and Deception in Written Narratives" (Ph.D. diss., Virginia Polytechnic Institute and State University, 2002).

⁷ J. Olsson, *Forensic Linguistics: An Introduction to Language, Crime and Law* (London, England: Continuum International Publishing Group, 2004).

⁸ B.M. DePaulo and W.L. Morris, "Discerning Lies from Truths: Behavioural Cues to Deception and the Indirect Pathway of Intuition," in *The Detection of*

Deception in Forensic Contexts, ed. P.A. Granhag and L. Stromwoll (Cambridge, United Kingdom: Cambridge University Press, 2005).

⁹ Tracy Harpster, "The Nature of 911 Homicide Calls: Using 911 Homicide Calls to Identify Indicators of Innocence and Guilt" (master's thesis, University of Cincinnati, 2006).

The authors wish to thank the detectives who provided 911 calls for the study and Dr. John Jarvis and Special Agent Vincent Sandoval for their assistance in writing this article. Also, Dr. Adams (susan1 adams@aol.com) and Lt. Harpster (tharpster@moraineoh.org) welcome reader questions and comments regarding 911 calls.

FBI Law Enforcement Bulletin Author Guidelines

Length: Manuscripts should contain 2,000 to 3,500 words (8 to 14 pages, double-spaced) for feature articles and 1,200 to 2,000 words (5 to 8 pages, double-spaced) for specialized departments, such as Police Practice.

Format: Authors should submit three copies of their articles typed and double-spaced on 8 1/2- by 11-inch white paper with all pages numbered, along with an electronic version saved on computer disk, or e-mail them.

Criteria: The *Bulletin* judges articles on relevance to the audience, factual accuracy, analysis of the information, structure and logical flow, style and ease of reading, and length. It generally does not publish articles on similar topics within a 12-month period or accept those previously published or currently under consideration by other magazines. Because it is

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Preliminary Crime Statistics for January-June 2007

According to the FBI's Preliminary Semiannual Uniform Crime Report, the nation experienced a 1.8 percent decrease in violent crime and a 2.6 percent decline in property crime during the first 6 months of 2007 compared with the same period in 2006. The report is based on information from law enforcement organizations that contributed 3 to 6 comparable months of data to the FBI during January through June of both 2006 and 2007. A total of 11,673 agencies met the criteria for inclusion in the current report.

Violent Crime

Each violent crime offense category (murder and nonnegligent manslaughter, forcible rape, robbery, and aggravated assault) decreased nationwide during January through June 2007 when compared with the corresponding months in 2006. Murder went down 1.1 percent, forcible rape declined 6.1 percent, robbery dropped 1.2 percent, and aggravated assault fell 1.7 percent.

The data compiled by population groups for the nation's cities showed that the largest decline in violent crime (5.1 percent) was in cities with 250,000 to 499,999 inhabitants. In contrast, violent crime rose 1.1 percent in nonmetropolitan counties and 1.1 percent in cities with populations of 10,000 to 24,999. In addition, small increases occurred in cities under 10,000 in population (0.3 percent) and in ones with populations of 100,000 to 249,999 (0.1 percent). Overall, violent crime decreased in all four of the nation's regions.

Property Crime

All of the property crime offense categories (burglary, larceny-theft, and motor vehicle theft) decreased in the first 6 months of 2007 when compared with data for the same 6-month period in 2006. Specifically, burglary declined 1.3 percent, larceny-theft fell 2.1 percent, and motor vehicle theft dropped 7.4 percent.

Although property crime decreased in all of the nation's city groups, burglary offenses increased 3.5 percent in cities with 1 million or more inhabitants. Larceny-theft dropped 4.1 percent in cities with 250,000 to 499,999 in population, and motor vehicle theft declined 9.5 percent in ones with 50,000 to 99,999 inhabitants. While in three of the nation's four regions property crime decreased, the South had an overall 0.4 percent increase.

Arson offenses, tracked separately from other property crimes, went down 9.7 percent nationwide. The greatest drop (15.9 percent) in these incidents occurred in cities with 500,000 to 999,999 inhabitants.

The Bulletin Notes

Law enforcement officers are challenged daily in the performance of their duties; they face each challenge freely and unselfishly while answering the call to duty. In certain instances, their actions warrant special attention from their respective departments. *The Bulletin* also wants to recognize those situations that transcend the normal rigors of the law enforcement profession.



Officer Giovanniello



Officer Schroeder

Officers James Giovanniello and Robert Schroeder of the Rockville Centre, New York, Police Department responded to a reported fire at a residential complex. Upon arrival, the officers observed extensive smoke and quickly entered the building's hallway to begin the rescue and evacuation of numerous elderly residents. Despite the hazardous conditions, Officers Giovanniello and Schroeder reentered the complex multiple times. Because of smoke inhalation, both officers required hospitalization after fire personnel arrived. The quick, courageous actions of

Officers Giovanniello and Schroeder resulted in the safe removal of the residents and the containment of the blaze.



Detective Wray



Detective Hildebrand

During a recent firestorm, Detectives Shawn Wray and Scott Hildebrand of the La Mesa, California, Police Department responded to a call for help from a citizen who, after ignoring evacuation requests, was stranded in his rural home. The dense smoke and flying debris from the approaching fire injured the man's eyes, and he was unable to flee. The detectives located the dirt road leading to the person's house and drove through intense heat, smoke, and flames. After locating him, they wrapped the man in an emergency fire shelter, placed him in the back seat of the car,

and turned around to drive out. The intensified flames resulted in zero visibility and extreme heat that penetrated the interior of the vehicle. Detectives Wray and Hildebrand feared that the smoke and heat would cause the car to stall as they used the edge of the dirt road, barely visible, to guide them out. Fortunately, the detectives transported the citizen to safety and turned him over to medical personnel before electrical damage caused the car to stop running.

U.S. Department of Justice
Federal Bureau of Investigation
FBI Law Enforcement Bulletin
935 Pennsylvania Avenue, N.W.
Washington, DC 20535-0001

Periodicals
Postage and Fees Paid
Federal Bureau of Investigation
ISSN 0014-5688

Official Business
Penalty for Private Use \$300



Patch Call



The Lewiston, Idaho, Police Department patch displays the confluence of the Snake and Clearwater Rivers as they flow past the wheat fields of the Palouse region bordering Idaho and Washington. The historic expedition of Lewis and Clark traveled through this valley, and, with the discovery of gold in 1860, Lewiston was founded. It is Idaho's oldest city and only inland seaport.



The patch worn by the patrol division of the Brown County, Kansas, Sheriff's Office features elements of the state seal, including a river and steamboat, representing commerce; a man plowing with a team of horses, depicting agriculture; and the rising sun, oxen pulling wagons, and a herd of buffalo, symbolizing early life in the state. The cluster of stars represents Kansas' motto, "To the stars through difficulty." The bald eagle, depicting justice, sits on the sheriff's star.