

PROPOSAL

THE ROLE AND IMPACT OF POLICE COLLECTIVE BARGAINING

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ABSTRACT

In the last decade, the nation's cities and towns have faced an important question: how to organize labor relations with police officers? At stake in their decisions are: 1) the cost, quality and character of police services; 2) fairness to policemen as employees and protection of their rights as citizens; and 3) the effective degree of public accountability and control over police forces. Sufficient experience with alternative collective bargaining arrangements in different settings has now accumulated to allow empirical investigation of their impacts. Moreover, the information gathered in such studies would be useful since the institutions and procedures are not yet firmly established. Thus we propose to: 1) survey recent trends in the establishment of collective bargaining procedures; 2) survey collective bargaining agreements emerging from the procedures; 3) develop case studies of the development of collective bargaining procedures and their outcomes in four widely divergent situations; and 4) based on all of the above, develop and administer a survey questionnaire that will broaden and deepen our current knowledge of existing practices, problems, and actions of collective bargaining with police officers.

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I. Introduction

In the last decade, the nation's cities and towns have confronted a thorny institutional issue: how to organize collective bargaining with policemen. At stake are important social values: fairness to policemen as employees of demanding organizations; the cost, quality and character of police services; and the degree of public accountability and control over police operations. Under the pressure of events, cities and towns have made commitments and taken actions which are now shaping their diverse collective bargaining arrangements. They have recognized specific associations as the bargaining units for policemen; they have expanded or limited rights to strike; they have established specific procedures and rules to bring resolutions from collective bargaining situations, and so on. Moreover, the cities and towns are now beginning to take the consequences of arranging these relationships in particular ways. They are seeing the impact of hostility towards police unions in the form of lowered morale, work stoppages and slowdowns, and the increasing strength and militancy of police associations. They see the effects of badly negotiated contracts in the form of high cost police service, significant restrictions on management's capacity to introduce new operating procedures and some limitations on disciplinary powers of management.

Despite all the activity, however, the situation is still extremely fluid. In some cities and towns, the issue of police collective bargaining has only recently arisen with sufficient force to be taken seriously by governing bodies. In other cities with longer histories and more firmly established traditions of collective bargaining, the political context has changed sufficiently to make continuation of the old traditions problematic. Finally, while various models of collective bargaining exist based on private sector and non-police public sector experience, and while the models commend themselves to us through

the force of familiarity and precedent, the nagging feeling that police organizations are importantly different, and therefore require special arrangements, persists.

The implication of these observations is that research in collective bargaining with policeman is timely. Over the next few years, cities and towns will make choices that effect both the substantive character and continuing governability of police operations over the long run. Sufficient experience has now been accumulated to allow researchers to see how specific arrangements in specific settings seem to work out. Yet the area is sufficiently new and dynamic that opportunities to shape institutions and alter practices still exist. Thus, the research task is to capture the relevant experience in ways that will help policy-makers in cities and towns make more informed judgments about how they should organize collective bargaining activities.

In the rest of this proposal, we will develop each of these points in more detail, and then present a research plan designed to produce information helpful to policy makers at state and local levels as they ponder their institutional choices.

II. The Issues and The Stakes

When one views the question of managing relations with police officers as an issue of collective bargaining, it is natural to begin the analysis in traditional economic terms. At stake are the basic issues of fairness to employees on one side and the costs, quality and character of police operations on the other. Of course, we know that these concerns are not necessarily incompatible. But still, there is often some tensions between the two. And, in the next few years, the apparent tension is likely to increase. The reasons are several.

For one thing, the demands of police officers for "fair treatment" are likely to escalate. For reasons described elsewhere, unions and collective bargaining came relatively late to police organizations. But the impetus behind police unions is now very strong. It springs from a simple conviction that police officers, among all private and public sector employees

should not be discriminated against with respect to their rights as employees. Since they do a difficult and demanding job, they deserve the protection that unions and collective bargaining have provided employees in other occupations. This basic thrust gives a certain militancy to the movement that has not yet been tempered by the development of institutional frameworks in which the police officers have great confidence. Thus, ordinary indignation about low pay, difficult working conditions, and inadequate recognition is fanned by a sense of unusual discrimination against police officers, and is left unchannelled due to the immaturity of the institutions and processes of collective bargaining in this area.

On the other side, the questions of cost, quality and character of police services are also likely to heat up. The cost issue is becoming crucially important as one city after another finds itself in financial difficulties brought on by shrinking revenues and increased demands for services. Basic wages, fringe benefits, and particularly police pensions will all come under unusual scrutiny and pressure as cities seek ways to maintain financial viability. While less visible and dramatic than cost issues, the issues of quality and character of police services are also potentially troublesome. Research on police operations continue to challenge the effectiveness of current police deployment and methods. Consequently, the police will be under some continuing pressure to innovate, or to resurrect older police traditions such as foot and mounted patrol. Yet these organizational changes will affect basic working conditions for police officers. In sum, while the public may recognize the legitimacy of police claims for equal treatment in employee relations, at this particular time they may be unwilling to yield much in the way of pay increases or guarantees about working conditions that restrict the potential for future innovations, and may perceive police unions and collective bargaining as threats to these values.

In conventional labor relations terms, then, police collective bargaining is potentially explosive: militant and relatively young labor organizations

confront equally inexperienced management teams hard-pressed on issues of cost and innovation through unfamiliar procedures. Work stoppage, work without contracts, high costs, and restrictions on procedural and technological innovations are all possible results. On the other hand, if we can learn quickly how to organize and manage these relationships, we might not only avoid these losses, but usher in a new era of increasing productivity and professionalism in policing.

This conventional labor relations analysis is only part of the story, however. In the background is another major issue not easily captured in conventional labor relations terms: the issue of police accountability and public control over police operations. The issue arises in the context of collective bargaining with the police for two different reasons. One reason is the acute importance of maintaining effective public control over police operations. Given the enormous powers of the police (e.g. to conduct investigations, make arrests, even use deadly force to apprehend suspects), some urgency about keeping them accountable for their actions must always be felt. The second reason for raising the issue is the fact that police unions have been active (even in political channels) on issues that affect their degree of accountability (e.g. civilian review boards, use of deadly force, identifying marks on badges, charter reforms affecting the terms of commissioners, department re-organizations affecting links to community groups, etc). One can view these activities in two different ways, of course. From one perspective, the political efforts of police unions threaten the principle of public control over police operations and lead to inappropriate policy decisions about such crucial matters as the use of deadly force, high-speed auto chases, and the relative importance of service (as distinguished from the enforcement) functions of police organizations. From another perspective, this political activity enlivens the pluralist debate about police operations by breaking the dominance of administration policies for police operations and leads to improved policy choices. Besides, to discourage political lobbying by police unions would be to discriminate against them and deny their members basic

rights as citizens.

No matter which perspective one adopts, however, one must admit that the question of the political activities and influence of police unions must be part of a useful analyses of police collective bargaining. They are inevitably linked for three reasons. First, choices about the organization of collective bargaining can have very important effects on the power and status of police associations. They can unify the organizations or divide them, strengthen existing police associations or weaken them. To the extent that the power of the associations are then used for various political purposes, an important link between collective bargaining and political activity is established. Second, decisions about collective bargaining can shape the activities of police associations. It is possible that the development of collective bargaining systems can focus the attention of police associations on "bread and butter issues" such as pay, promotions and pensions, and distract them from more ideological issues such as deadly force and capital punishment. But it is also possible that collective bargaining will simply strengthen an organization whose dominant interests remain focuses on these political issues. Third the political activities of the police can shape the specific collective bargaining agreements that emerge from the collective bargaining process. This will inevitably be true if aspects of the collective bargaining agreement can be nullified by legislation or executive orders encouraged by lobbying efforts. In effect, police unions have two avenues for influencing management decisions: as employees engaged in collective bargaining and as citizens lobbying for well defined interests. Because both avenues exist, the opportunities in one will influence what happens in the other. Thus, any analysis of police unions and collective bargaining must be concerned with the lobbying and political activities of police unions as well.

In sum, we think that at least three important social values are generally at stake in this area of police collective bargaining:

- Fairness to policemen as employees of a demanding organization
- The cost, quality and character of police services now and in the future
- Maintaining public control and accountability over police operations.

Moreover, we think that the existing situation is sufficiently fluid and uncertain to allow both substantial gains and terrible losses in these areas depending on specific choices made about collective bargaining.

III. The Fluidity of the Existing Situation

Collective bargaining in the public sector has been officially sanctioned only since 1962 when President Kennedy issued an executive order permitting federal employees to unionize and bargain collectively. Up to that time employee associations had developed for fraternal and lobbying purposes, but, for the most part, opportunities for collective bargaining were denied to them. The reasons for the late development of unionism in the public sector were several.

First, early attempts to organize public sector employees encountered general attitude that it was both improper and impractical to permit public employees to negotiate about their work conditions or to strike. This view was sufficiently strong and widespread that Calvin Coolidge could make himself into a prominent public official by summarily firing the thousands of policemen who struck in Boston in 1919.

Second, although public employees formed associations, until very recently the number of employees in the public sector was so small that they were not an influential political force. After World War II there were approximately 3.5 million workers in state and local governments. That number escalated to 13.1 million by 1979, - a considerably more potent political and lobbying force.

For special reasons, the police lagged even further behind the rest of the public sector in developing collective bargaining arrangements. On the police side, the desire for collective bargaining was diminished by three factors: the trauma associated with the outcome of the 1919 strike; a strong ideological bias in police fraternal associations hostile to the general idea of unions and unionization; and the existence of "parity agreements" which allowed the police to "piggy-back" on the more aggressive collective bargaining efforts of firemen. On the governmental side, there was also greater resistance to grant the police collective bargaining privileges. Thus, even when public sector labor organizations became legitimate it was generally the police who were the last to be permitted to bargain over salaries, hours, and terms and conditions of employment. In Massachusetts, for example, all municipal employees except police were given the right to bargain in 1965; the police had to wait until 1966. Court recognition of this constitutional right came in 1969 when a Federal Court struck down a North Carolina statute prohibiting police and firefighters to join labor organizations for collective bargaining*. In 1971 a federal court in Atlanta reaffirmed this right.**

Thus any discussion of police unionism, collective bargaining, or binding arbitration must start from the reality that all public sector bargaining, and especially police bargaining, has lagged at least 30 years behind bargaining in the private sector and is in a state of relative immaturity.

A second point is that there are limitations in the extent to which analogies drawn from bargaining in the private sector can be usefully applied to bargaining in the public sector. Burpo (1979), Juris and Feuille (1973), Brock (forthcoming)

* Atkins, et al and IAFF v City of Charlotte, 296F.Supp.1068 (1969).

** Melton, et al v City of Atlanta, 324F. Supp. 315 (1971)

have discussed these matters in detail. The crucial differences are differences in economic incentives, the pluralistic nature of public sector management and the different consequences of strikes. Additionally, the common absence of the strike threat in the public sector leaves management the possible incentive for not settling an outstanding contract dispute.

A third point is that the police union movement in the United States remains extremely fragmented. Presently the Fraternal Order of Police (FOP), the International Union of Police Associations (IUPA) (recently affiliated with the AFL-CIO, the American Federation of State, County and Municipal Employees (AFSCME), the International Brotherhood of Police Officers (IBPO), the Teamsters and other groups compete for the allegiance and to represent local groups. Additionally, black officer organizations have developed in many of the larger cities. But even within these groups competition between individuals, cities and subgroups is often intense (personal observations of author). Beyond that, as Juris and Feuille (1973, p. 27) have noted (and this author has observed), local groups are extremely autonomous and self-directing. While there are a variety of reasons for this the two primary ones are economic and ideological. Locals simply are unwilling, for the most part, to make extensive commitment of funds to national organizations. And while the national unions would like to become more involved in local disputes, resources simply preclude this.* Another factor, which both stands on its own as an important factor in this fragmentation and justifies the lack of support of national organization is the extent to which police officers are ideologically committed to the principle of policing as a local function and see any national movement regarding the police

* This fragmentation stands in sharp contrast to firefighters where local financial support for the International Association of Fire Fighters (IAFF) is extremely strong. The result is that the IAFF has always been a more effective national lobbying association than police associations.

Fragmentation is also apparent at the local level. Competition amongst groups representing various nationals and within local groups is so intense that it is often extremely difficult to maintain experienced leadership. This leaves local unions vulnerable to agitation by management in associations or union affairs, collusive negotiating, etc. (personal observation by author and see Levi, 1974).

These factors:

- The immaturity of police unions
- The differences between public and private sector bargaining
- The multi-level fragmentation of the police union movement

create a circumstance of great fluidity. In many areas of the country the basic legitimacy of police unions has yet to be established.** Inexperience on both sides, rancorous ideological disputes, lack of rules to guide conflict, etc., have, in the worst cases, led to outrageous behaviors on both sides (overt attempts at union busting by chiefs and/or cities and disciplinary duties for police organizers - "fear city" campaigns and vindictive personal attacks on chiefs and ex-chiefs by unions). In the best cases, where experience has been gained, and constructive legislation experimented with, models of collective bargaining have been developed which give promise of reducing extraneous conflict and facilitating dispute resolution.

* The impact of ideology on the police union movement cannot be overestimated. In the late 1960's and early 1970's, when the author of this proposal first started to deal with police unions, a large segment of police associations and union members were covert members of the John Birch Society. Purity of ideology remained a strong issue in many associations and unions for a long time and were only slowly replaced by bread and butter issues.

** This lag is still evidenced in a recent (1977) publication of the International Association of Chiefs of Police, Critical Issues in Police Labor Relations. The first section of Chapter 1 is entitled "Police Unionism is Not Inevitable" and essentially is a brief guide to coopting a move to unionism.

As in any newly developing field, a variety of techniques have been adopted, invented, tried, modified, etc. for the purpose of reducing conflict between labor and management in the public sector. And, although strikes have been legalized in eight states for some public employees,* the general tendency in legislation is to find alternatives to strikes (especially for police and firefighters) once a negotiating impasse is reached. These techniques include:

- Factfinding - a neutral person listens to proposals and supporting evidence and issues a report summarizing the facts which ideally will help for the basis for a voluntary agreement
- Mediation - a neutral person tries to clarify the proposals and open channels of communication. Recommendations are rarely made.
- Arbitration - similar to factfinding except that the recommendations are binding.
- Final offer arbitration - (either total package or item by item) The attempt is to force continued bargaining. Dividing the difference is not allowed
- Cooling-off period - a period of "cooling off" during which a strike cannot occur. If no settlement is reached arbitration can be ordered to avoid a strike
- Non stoppage strike - a job action in which work continues but a portion of both management's and employee's salaries are withheld. If agreement is not reached in a specified time the funds go to private charities and the process is repeated

* Alaska - all nonessential employees; Hawaii - all employees except fire fighters; Minnesota - all except essential employees but only if the employer refuses arbitration; Montana - nurses under restricted circumstances; Oregon - all except police and firefighters; Pennsylvania- all except police and fire fighters; Vermont- all; Wisconsin- all except police and fire fighters, but only if parties withdraw final offers. (Midwest Monitor, 1979a)

As in any newly developing field, a variety of techniques have been adopted, invented, tried, modified, etc. for the purpose of reducing conflict between labor and management in the public sector. And, although strikes have been legalized in eight states for some public employees,* the general tendency in legislation is to find alternatives to strikes (especially for police and firefighters) once a negotiating impasse is reached. These techniques include:

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- Canadian System - Federal employees must state in advance of negotiations whether they will strike or go to arbitration before negotiations begin and cannot change if impasse is reached
- Limited right to strike - a variety of limitations including advance notice, availability of other nearby services, dividing services into essential and nonessential categories, etc.*

More recently, innovative techniques have been explored. These include:

- Mediation-arbitration - a system that uses mediation and arbitration sequentially.**
- Public referenda - at impasse or rejection of binding arbitration the issue goes to the voters (This is used widely in the West).
- Joint Labor-Management Committee (Massachusetts) - a joint committee - different from the bargaining team - of employees and managers - encourages communication and is empowered to use final offer arbitration.*** (Midwest Monitor, 1980; Brock, forthcoming)

Indiana has drafted similar legislation.

In sum, our experience in police collective bargaining is both new and varied. Moreover, practices are not now well established. This means that a significant opportunity to do useful empirical research now exists. The varied

* Midwest Monitor (1977b)

** This system was used in 291 cases in Wisconsin. Of these cases, 125 were closed without going to binding arbitration (121 cases were still pending) Midwest Monitor, 1980.

*** All decisions up to the end of 1980 have been unanimous and none have been disputed by the parties.

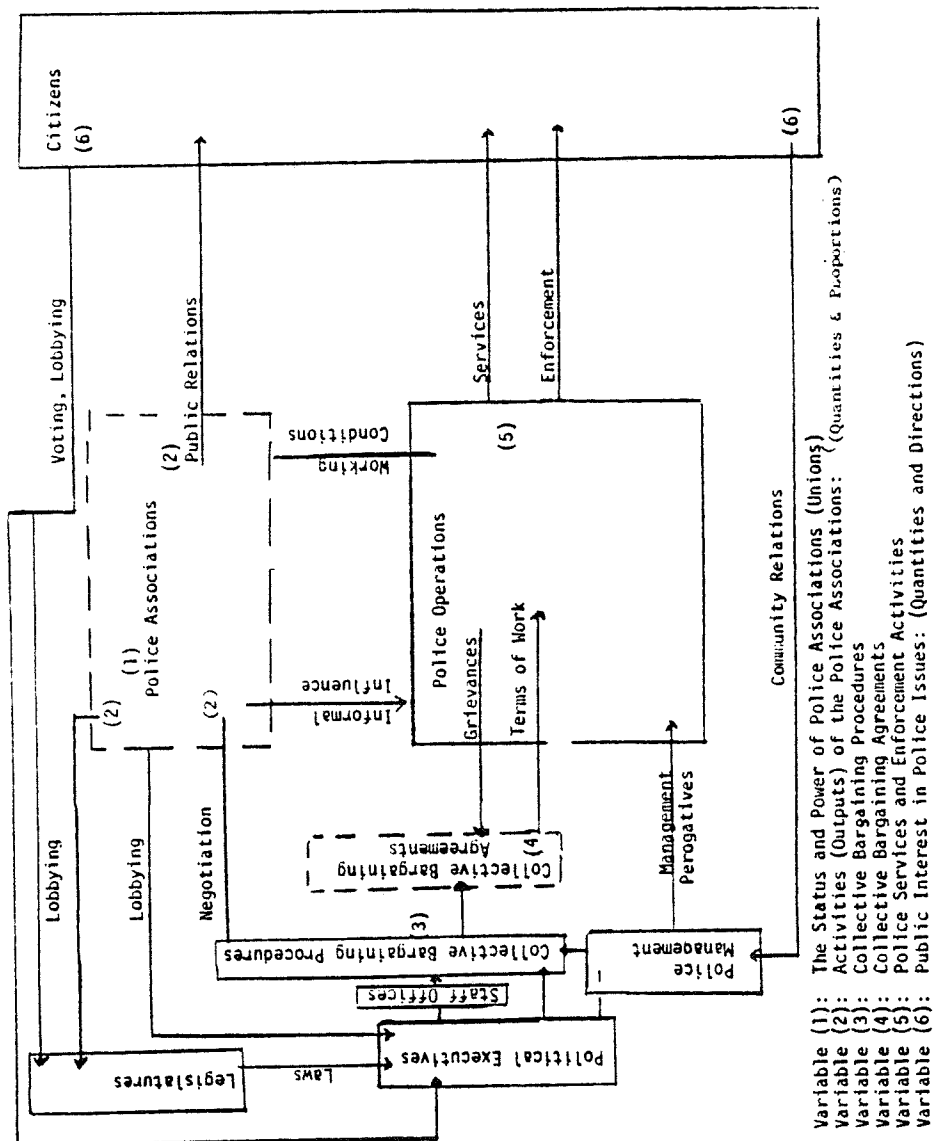
experience suggests the existence of valuable "natural experiments" which can be exploited. The continuing fluidity means that the research can be effectively used. The task, then, is to organize research to help us trace the relationships between different collective bargaining arrangements and the important social status in this area.

IV. Research Questions and the Existing Literature

In designing research in the area, it is useful to begin with a simple conceptual model of the important institutional (and causal) relationships. Figure 1 presents such a model.

Figure 1

A Conceptual Model of the Relationship Between
Collective Bargaining Procedures, Police Services,
and the Institutional Position of Police Associations



The overall policy objectives are to manage this system to:

- 1) Promote low cost, high quality, effective and innovative police services;
- 2) Be fair to police officers as employees and recognize their capacity to contribute to the goal of quality police service; and
- 3) Maintain an appropriate degree of public accountability and control over police operations.

The major instrument of concern in accomplishing this objective is setting up a system for collective bargaining. The research task is to explore the links between specific collective bargaining arrangements and the policy objectives as they work through the complex system identified in Figure 1.

A review of the existing research literature reveals significant gaps in our understanding of this system. Most of the existing research focuses on the impact of various forms of collective bargaining on the bargaining process itself or on the pattern of award outcomes. The work of Benjamin (1978), Robitzek (1979), Kochan, Mironi, Ehrenberg, Badenschneider, and Jick (1979), Department of Labor and Department of Management and Budget (1979), Burton and Kreder (1974), Brock (forthcoming), Lipsky, Barocci, (1977), Bernstein (1971), Ichniowski and Laver (1980), Feuille (1975), Somers (1979), Wellington and Winter (1969) are typical of these studies and reports. While these studies vary enormously in scope and quality, several conclusions emerge:

- The search for dispute resolution techniques that do not have a "chilling effect" on good faith bargaining goes on.
- Most resolution techniques have a tendency to encourage increasing reliance on them.
- The relationship between awards, negotiations, binding arbitration remains unclear and present models do not explain the variance in wages, fringe benefits, etc.

Research on areas of impact other than the dispute resolution process and the award is even more spotty. The most noteworthy study by Juris and

Feuille (1973) was essentially a descriptive study. It has been dated somewhat by changes both in police unions and in bargaining statutes.

Levi (1974) has traced the history of three unions and provided a case study of the powerful political lobbying of New York City police in defeating Mayor Lindsay's proposal for a Civilian Review Board. Wycoff and Kelling (1976) documented the role of a police association (dominated by detectives) in defeating a major effort at police reform in Dallas. Randal (1978) provided an historical account of the defeat of Mayor White's attempt to civilianize many police functions in Boston by the Boston Police Patrolmen's Association (BPPA). Larson (1978) again provided case studies of union activities which profoundly affected management's attempts to improve police productivity. Alberts (1975) studied the struggles between DiGrazian and the BPPA. Halpern (1974) documented the impact of police unions in collaboration with police officials on attempts to increase civilian scrutiny of police agencies. Olmos (1974) looks at union impact on disciplinary procedures in two cities. Fogelson (forthcoming) studied the impact and potential future impact of present retirement policies on cities and police agencies.

Several themes emerge from these studies:

- Police associations and unions are powerful lobbying organizations (Levi, Halpern). They are influential with many different audiences (e.g. political executives, legislatures, and the general public), and on many different topics (e.g. pay, disciplinary procedures, systems for assessing accountability, and so on).
- Police associations can have substantial impact on reform or improvement activities of the police (Wycoff and Kelling, Larson, Randal)
- Unions and management can work together (overtly or covertly) to affect public policy (Levi, Halpern) and the quality and character of police services.

The literature is extremely mixed about the actual or potential impact of the unions on police service. In spite of apocalyptic predictions about the impact of unions on policing and the police environment, both the policy literature and the available empirical literature suggest that the impacts are many, varied, and not easily described as positive or negative.*

Summarizing then, researchers looking at the issues addressed in the RFP to which this proposal is responding find:

1. The field is in considerable flux - In Massachusetts, for example, final offer arbitration was no sooner replaced by the Joint Labor-Management Committee (and the studies of it just about completed) when Proposition 2 1/2 (Massachusetts Proposition 13) might well eliminate, not only the Joint Labor-Management Committee, but all binding arbitration whatsoever.
2. The best, most extensive, and most current research deals with the impact of various impasse resolution techniques on the collective bargaining process and the awards. The findings in both areas are mixed.
3. Other research confirms that unions can be powerful lobbying organizations, can have a substantial impact on internal or external efforts for reform, can work with or against chiefs, and that it is almost impossible to categorize most of their impacts as positive or negative.

* Categorizing a particular impact of unions on police service as positive or negative is an extremely difficult process. While all the issues cannot be discussed in a proposal of this length, it is important to note that given the multiplicity of police roles (See Wyckoff, et al, forthcoming) and the state of our ability to measure the productivity of the police (See Parks, et al, forthcoming), it is extremely difficult to say whether any impact is positive or negative. Even such an issue as one-person - two-person cars is not clearcut, given that only one valid study of one-person - two-person cars exists, and even that study has some major shortcomings (as all studies do).

V. Proposed Research

Our research objective is to develop useful information about the relationship between alternative collective bargaining arrangements, and outcomes measured in terms of police services, the adequacy of labor relations in the area of policing, and the degree of public accountability and control over police operations. Obviously, the complexity of these topics is such that we cannot hope for definitive results. What we can hope for is information that can be useful to cities and towns as they experiment with different collective bargaining arrangements. We are proposing a two stage research project. The first stage will be an exploratory one during which hypotheses would be developed through four case studies, a continued literature search, interviews with elites, analysis of the legal trends in public sector labor laws, and an informal sampling of collective bargaining agreements. Based on this exploratory activity (6 months), and an interim period of three months for development of instruments, etc.. The second stage of research would then commence. This research would use standardized methods, predominantly surveys, to explore specific questions of particularly relevant groups.

A. First Stage

1. Objectives

The purpose of the first stage of our research is to get as close as possible to the practical problems now being faced by cities and towns and leaders of police associations. This is important to insure that we focus later research on areas of great importance and relevance. Representative questions include the following:

- What are the current trends in laws, policies, and traditions shaping collective bargaining practices?
- What are the major objectives of leaders of police associations and unions? What are their internal problems and opportunities?

- What kind of lobbying and political activities are unions engaged in? What issues have they focussed on? What reactions has their lobbying generated?
- What issues are currently included in collective bargaining agreements? Do they impose constraints or innovations in police procedures? Do they fix existing organizations procedures?
- Who does the negotiating for cities and towns? What are their objectives? How tightly are they pressed on financial issues and on quality of police services?
- What political pressures do the representatives of cities and towns feel with respect to issues of police accountability and public control? Are these affecting collective bargaining arrangements in important ways?

2. Methodology

The methods used to obtain answers to these questions primarily would be observation combined with in-depth interviews of police union officials, police department representatives, city officials, arbitrators and mediators, civil service personnel, other governmental officials, judges, etc. While four sites would be focussed on, representative elites would be identified when the case study approach would not provide such access (e.g., arbitrators, national union officials, International Association of Chiefs of Police officials, etc.). We also anticipate collecting and analyzing a small but representative sample of transcripts and documents pertaining to binding arbitration and awards relating to union-management disputes and impasse resolution for the purpose of understanding the complex relationships between bargaining and political activities, the nature of disputes, and how those disputes are resolved.

The use of such exploratory and descriptive techniques is often criticized for being subjective, impressionistic, informal and biased as a result of observer effect and use of organizational records. While such

criticism have some validity, they do not take into account the advantages of such methodologies. When the phenomenon under study is in a state of rapid change or growth, the use of such techniques allows researchers to understand the full range of behaviors, the rationale for those behaviors and to develop hypotheses about the relationships between actions and outcomes. This is especially the case when organizations/individuals have been secretive about their practices and/or tended to obfuscate real issues behind "screens" (as is often the case in collective bargaining). Exploratory research as described here is not intended to be representative of the relevant universe of behaviors and responses (although it may be), but instead is designed to identify relevant hypotheses and indicators. Thus it may use deviant or extreme cases as well as more typical ones. Deviant case analysis and the interview of non-representative elites highlight important processes which helps frame systematic hypothesis testing research. If it is clear that such efforts have as their purpose hypothesis development, they are appropriate first steps in formal research.

3. Sampling

We are proposing that four sites be identified for this preliminary stage. Although it presents logistical and managerial challenges, conducting a four site case study is overall, distinctly preferable to conducting research in only one isolated site. In addition to the opportunity to learn from the

lessons of several distinct experiences, comparisons among sites provide for the possibility of more thorough interpretation of data and guarding against observer bias. Additionally, extreme or deviant cases provide the full range of active and reactive.

The decision about sampling -- that is, what sites to use, whom to interview, when to interview, etc. -- would be made on the basis of what Glazer and Strauss (1967) have called theoretical sampling:

Theoretical sampling is the process of data collection for generating theory whereby the analyst jointly collects, codes, and analyzes his data and decides what data to collect next and where to find them, in order to develop his theory as it emerges. This process of data collection is controlled by the emerging theory, whether substantive or formal. (p.45)

The case sampling process initially will be determined by the consultation with elites in the field, the availability of sites, the continuing interests of NIJ, the present legal trends, and current literature.

As an example, the work of Levi (1974) and the observation of this grant and others suggest that as unions and cities gain experience in collective bargaining, certain kinds of conflict will be reduced. While this hypothesis should be a consideration in the selection of sites, the fact that the Phoenix union was transformed, almost overnight, to an extremely mature unit (from a union point of view) suggests that Phoenix might well be a deviant case well worth including in the sample of cases. A variety of bases for selection could be adopted. Generally the most experienced and mature unions are in the Northeast and Midwest; although Chicago has only unioned in the very recent past. New Orleans has recently gone through an extremely exacerbated union-city conflict which was made more complex by the fact that black police officers formally split with whites. Memphis was also a conflictual scene and many thought it was made worse by deliberate unionbusting tactics of the city. Many other sites could be identified in which labor management disputes have been

handled quietly and with the minimum of serious conflict. Thus selection criteria could include public sector laws, age of union, region, the recent history of labor/management disputes, history of participatory management techniques (e.g., Kansas City, Missouri), etc.

Once a site has been developed theoretical sampling will also be used. As patterns, trends, lines of communication open, the researcher pursues them. During the initial phases, interviews are likely to be open-ended and informal. As the dynamics of the situation and the critical actors become apparent, the interviews become more highly structured and focused. As the researcher gets deeper into the circumstances, the significance of something said in an initial interview becomes clear. There is a constant interplay of understanding between the past and the present.

4. Data Collection and Coding

Data collection in case studies proceeds as the researcher reads situation, draws tentative hypotheses, interviews, observes, reviews tentative hypotheses, develops new tentative hypotheses, again reads the situation, and returns to the field to collect data. The data are coded and interpreted in light of the tentative hypotheses, data collected earlier are reviewed in light of new "usable truth", and the process circles on and on. Sampling is determined by the data collected, interpretation of those data (in light of the literature), and prevailing circumstances (e.g., current labor disputes, legal changes).

Such collection activities, of course, must be standardized as much as possible. Otherwise each data collector could develop an idiosyncratic perspective, leading to broad-scale subjective confusion.

5. Data Analysis

The nature of exploratory qualitative research consists of a continuous interaction between data collection and data analysis. The data analysis

itself consists of an integration of qualitative and quantitative data analysis. This approach has been called the multi-method/multi-trait technique (Campbell and Fiske, 1959), triangulation (Webb et al. 1966), and goal system state analysis (Sieber, 1973). What all of these terms describe is an approach that combines a variety of qualitative and quantitative techniques to study the same phenomenon. The term "triangulation" is of especial interest. It is a term from navigation and military strategy (Jick, 1979) that implies the location of a position through the use of multiple reference points. As Jick (1979) points out, triangulation has come to describe both within-method and between-method techniques, but it is specially relevant when multiple methods are used.

Triangulation, however, can be something other than scaling, reliability, and convergent validation. It can also capture a more complete, holistic, and contextual portrayal of the unit(s) under study. That is, beyond the analysis of overlapping variance, the use of multiple measures may also uncover some unique variance which otherwise may have been neglected by a single method. (p.603)

The analysis, then, is a two-step process that includes separate case analysis and cross-site analysis. In each of these analyses, the approach would be that of triangulation; that is, bringing together data from the variety of sources and focusing them on the issues of unions interaction with its environment.

6. Separate Case Analysis

Miles, (1979), citing Sieber, suggests what is perhaps the most useful model for analysis of separate cases. The four steps suggested are intertwining of analysis and data collection, formulating classes of phenomena, identifying those classes, and provisional testing of hypotheses.*

* For a discussion about some of the controversies involved in the analysis of case studies see Yin (1981).

- Intertwining of analysis and data collection has been discussed earlier in the discussion of sampling.

- Formulating classes of phenomena is really a continuation of the ongoing coding and data reduction process. In this process, observations are subsumed under a broader generalization.

- Identifying classes is a process of noting regularities in classes of events. For example,

- Provisional testing of hypotheses is a search for an alternate, more economical explanation of what has happened. This is a multi-step process. It is done within the research staff, through having drafts reviewed by the subjects of the research and by outside reviewers. A first draft of a report, then, is viewed as one more step in the analysis of data, rather than just as a draft approaching completion.

7. Cross-site Analysis

Simultaneously with the case analysis, research such as proposed here have to conduct cross-site analyses.

The methodology for cross-site analysis is not clear in the literature (Miles, 1979). The proposed approach would be similar to that for case study. The case study data would be reviewed, processes and patterns would be searched for at higher and higher levels of generalization, provisional interpretations would be combined with interpretations and data from the impact survey, and then, as with a case study, the first draft would be circulated to the subjects and outside readers as alternate interpretations are sought. From these exploratory activities formal hypotheses would be developed for subsequent research.

B. Interim Period Activity (Seventh through Ninth Month)

In essence this is the implementation phase of the formal research.

Based on the earlier work:

- 1) hypotheses would be developed
- 2) design formalized
- 3) representative samples drawn
- 4) instruments developed and pretested
- 5) statistical tests prescribed
- 6) final report outlined

While we believe it is impossible to specify the final shape of the above, we can at this point, (just as we did earlier) speculate that we will find that in those states where collective bargaining and police unions have a relatively lengthy history, the severity of the conflicts will be considerably less than in those where such traditions do not exist. This hypothesis (stated in the roughest form here) will have implications for designing the research (developing indications of conflict) selecting the sample, (to be able to control for the age of the laws and bargaining tradition), developing terms and scales which test for the indication, and the analysis (controlling for age). This is just one example, it does demonstrate the process that will dominate this interim period. Given that this is two stage research, we would assume that at the end of the interim research period (9th month) a redesign would be submitted for consultation and by NIJ staff.

C. Final Research Period (Tenth through Eighteenth Month)

It is even more difficult to prescribe the activities which will take place during this stage, as it clearly will depend on the activities in Stage 1 and the Interim period. The research conducted during this period will be

the most formal and representative as possible. It is most likely that research during this period will include the use of survey techniques to test hypotheses that have been identified during the exploratory phases of this research. Depending on those hypotheses, samples will be drawn, information gathered, analyzed with appropriate statistical techniques, and interpretations made.

The most difficult analytical task however, will be combining the case studies and the formal research. The point, familiar to anyone who has ever managed a major research effort, is that the analysis and interpretation of data in multi-method/multi-site research projects is extremely difficult and no such project is completed without episodes of despair, conflict, paralysis. As a method for confronting such a task, the triangulation approach offers the best possible system.

Each group of data is analyzed independently (each site, across sites, for formal research). Generalizations are drawn from each. If there is convergence of findings, the difficult task of synthesis is made somewhat more simple. If the findings diverge and measurement error is not a factor, explanations have to be sought. Divergence of findings are reconciled by bringing as much evidence as possible to bear on answering critical questions from the wide variety of data resources and methods. Primarily, synthesis is accomplished by having experienced social scientists and policy analysts immerse themselves in the data, drawing tentative conclusions, having consultants, advisors and reviewers comment on and critique those conclusions, redrafting them, again, circulating them, and then, incorporating those final insights, critiques, etc.

The research is proposed to last 18 months. Three distinct periods are proposed: Stage 1, an Interim Period, and Stage 2. As discussed earlier, Stage 1 consists of the conduct of four exploratory case studies, a literature review, a legal review, an analysis of disputes and awards, and interviews with elites. Figure 2, which follows, presents the major milestones and schedules.

FIGURE 2

Month Activity	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Appoint Advisory Board	*								*									*
Advisory Board Meets	*																	
Appoint Consultants	*																	
Selection of Four Sites	*																	
Literature Search	←					→												
Case Study Activities (Observe, interview, Record Analysis)	←					→												
Analysis of Disputes and Awards	←					→												
Legal Review	←					→												
Analyze Case Studies						←			→									
Develop Hypotheses						←			→									
Develop Indicators						←			→									
Develop Instruments						←			→									
Submit Redesign									*									
Conduct Formal Research										←								→
Analyze Stage II Data															←			→
Combine Stage I & II															←			→
Draft Report & Submit															←			→

1) Appoint Advisory Board

During the first month of the grant period Harvard University in consultation with NARO will develop an advisory board committee made up of persons like Edward Kiernan of the International Union of Police Associations, Hervé Juris, a noted researcher of police unions, Renault Robinson, formerly of the Chicago Police Department and now an organizer of black police officers associations, and Gary Hayes, Executive Director of the Police Executive Research Forum. Tentatively, we are planning to convene the panel at the beginning of the project, and then ask them to review documents during the ninth and eighteenth month of the research. (The purpose for convening only once is to reduce travel expenses.)

2) Appoint consultants

Two consultants have agreed to participate in the project. First, Hubert Williams who is a noted chief who has been extremely cooperative in the conduct of police research. The second, Mr. Robert Kliesment is presently president of the Milwaukee Police Association and has supported research in policing and unions for a long time. Mr. Williams and Mr. Kliesment will be involved in all areas of the project from site selection through data analysis and interpretation.

3) Site selection

Sites will be selected in consultation with the National Institute of Justice and consultants and the advisory committee during the first month of the project.

(4) Literature Search

A literature search will commence as soon as the project begins and will be completed by the end of the sixth month.

(5) Case Study Activities

As soon as the staff, in consultation with the above named groups, selects the sites, case study activity described earlier will begin in all four sites.

(6) Analysis of disputes and awards

A sample of disputes that resulted in impasse will be drawn and analyzed to look at the impact of political and public relations and bargaining on the creation and resolution of the impasse.

(7) Legal Review

Legal review will begin as soon as the project commences and will continue until the end of the sixth month. Special effort will be made to identify common trends as well as unique circumstances.*

(8) Analyze Case Studies

Analysis of the case studies will begin at the sixth month and end during the ninth month.

(9) Develop Hypotheses

The hypotheses will be developed during the period from the sixth to the ninth month.

(10) Develop Indicators

The indicators will be developed during the sixth to the ninth month.

(11) Develop Instruments

Instruments will be developed during the interim period, the sixth through ninth month.

* Neither the Midwest Monitor nor the Annual Summary of Public Sector Labor Relations Policies (U.S. Department of Labor) notes such idiosyncratic circumstances as the laws providing special procedures for the Milwaukee police.

(4) Literature Search

27

A literature search will commence as soon as the project begins and will be completed by the end of the sixth month.

(5) Case Study Activities

As soon as the staff, in consultation with the above named groups, selects the sites, case study activity described earlier will begin in all four sites.

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* Neither the Midwest Monitor nor the Annual Summary of Public Sector Labor Relations Policies (U.S. Department of Labor) notes such idiosyncratic circumstances as the laws providing special procedures for the Milwaukee police.

(12) Submit redesign

The redesign for the final formal period of research will be submitted to the National Institute of Justice for approval during the ninth month.

(13) Conduct Formal Research

Formal research will commence at the tenth month and be completed at the eighteenth month.

(14) Analyze Stage 2 Data

Stage 2 data will be analyzed during the final three months of the project.

(15) Combine Stage 1 and 2 Analyses

This combined analysis will be conducted during the last three months of the project.

(16) Draft and Submit Report

This report will be drafted during the last three months of the project and submitted during the final month of the project.

The principal investigator will be Dr. Mark H. Moore, Co-principal investigator will be Dr. George L. Kelling; the project director, Mr. Steven M. Edwards. Essentially a team approach will be developed with the senior researchers including Dr. Moore, Dr. Kelling, Mr. Edwards and Mr. Jonathan Brock. Each will conduct one of the four case studies.

Mr. Steven Edwards will be responsible for the day to day management of the project, coordinating the activity of his colleagues during the case study, interim stages, and formal research periods of the research, reflected in the budget (to be discussed later) Mr. Edwards will increase his time on the project as the project expands to the formal research (last nine months). Likewise, during the formal research and data analysis periods Dr. Kelling will increase his time commitments to the project.

VII. Staffing Plan

Four present staff members of Harvard's Kennedy School of Government will be involved in this project: Dr. Mark H. Moore, Guggenheim Professor of Criminal Justice Policy and Management; Dr. George L. Kelling, Research Fellow and Director of the Program in Criminal Justice Policy and Management; Mr. Steven M. Edwards, Project Director; and Mr. Jonathan Brock, Lecturer in Public Policy.

Dr. Mark Moore will be the principal investigator and will commit 10% of his time to the project. He will conduct one of the case studies and will have overall responsibilities for all areas of the research effort.

Professor Moore is the Guggenheim Professor of Criminal Justice Policy and Management. In addition to his substantive knowledge of crime, the criminal justice system, and so on, Professor Moore is responsible for the overall development of the field of Public Management at the Kennedy School. He has developed many case studies on the management of enforcement agencies - including several on innovatives in the New York City Police Department that were successfully resisted by police unions. And he has served as the Director of Planning and Evaluation for the Drug Enforcement Administration.

Dr. George L. Kelling will be co-Principal Investigator and will be assigned 10% of his time during the first two stages of the project and 25% during the important final stage. Dr. Kelling will assist in the management of the project, and will be intensively involved in all aspects of the research. Because of his experience with police unions and police agencies over the past twelve years, Dr. Kelling will especially be involved in site development and selection. Dr. Kelling's work in police agencies is well known. His work in Kansas City, Dallas, and New Jersey has made important contributions to the police

strategy and program implementation literature. He has also extensively published in the area of research methodology. Less well known, but equally significant, Dr. Kelling has worked closely with police unions, especially the IUPA and its predecessor organization, since 1969. A soon to be published study of police stress conducted by the IUPA, the Police Foundation, and the National Institute of Occupational Safety and Health largely came about as a result of Dr. Kelling's work with unions and his interorganizational skills.

Mr. Steven Edwards will be responsible for the day to day operations of the program and assigned to the project 25% of his time during the first stage and the interim stage as well, and 60% during the final research stage. He will conduct one of the case studies, coordinate the activities of his colleagues in consultation with them develop all instruments, conduct the analysis of the data and develop all interim and final reports. Mr Edwards has been at the John F. Kennedy School of Government since July 1980. Presently he is a doctoral candidate at the School of Criminal Justice at Michigan State University. While at Michigan State University Mr. Edwards was heavily involved in a national study to assess the feasibility of criminal justice agencies to conduct formal human resource planning. A critical element that emerged in this study was the significance of unions on the development of human resources for agencies. In addition to this research, Mr. Edwards has had a long involvement and interest in police management and personnel issues, acting as a consultant to numerous police departments.

Mr. Jonathan Brock will be involved in the project 10% of his time

He will conduct the case study, oversee the collection and analysis of the impasse resolution and award material, and assist in all other areas of the research. Mr. Brock's interest and background in labor management relations extends back to his employment at the Labor Department under Secretaries Dunlop and Usery and his work in occupational safety and health. Since coming to Harvard in 1977 he has concentrated on two areas: 1) course and curricular development in the management of people in public agencies; and 2) research on dispute settlement in public safety labor relations. He has authored some twenty case studies in the management of people in public agencies, including a number of public sector cases, a police case, and a fire case. His book tentatively titled, Bargaining Beyond Impasse: Joint Resolution of Public Sector Disputes, is expected to be published by the end of the year. Mr. Brock has been engaged in research -- both case research and empirical research -- in the resolution of public safety disputes. His work focused on the Massachusetts experiment in public safety dispute resolution, and studied carefully the effect of this experiment on the dynamics between labor and management in bargaining and dispute resolution. He has developed an understanding of dispute resolution mechanisms in their capacity to help or hurt the collective bargaining relationship and their resultant capacity to affect the quality of public safety services which is formidable and should contribute to the insights that come out of this study.

Given the importance of the tasks outlined in this proposal, it is intended that all developed material should reach as wide an audience as possible. That audience would include police, city and other governmental officials, as well as research and academic personnel. As a result of this differentiated audience, final reports, as stated above, would be in two forms: An executive summary version for police administrators and governmental decisionmakers and a technical report for research units in police and other governmental units, research institutes, and universities.

At the end of the 6th month, three interim reports would be completed. The first report would summarize the findings of our case studies; the second would present an analysis of the literature and legal survey; the third would be the final design for research.

The final reports would contain a summary of the legal background and the relevant literature, the case studies, a discussion of the data sets, descriptions, analyses, a summary of the findings, a synthesis of the case studies and the formal research, and the identification of additional areas for research. The purpose of these analyses will be to help policy makers, politicians, and police and union officials understand the impact of unionization, collective bargaining and lobbying/public relations activities on police services and devise social policies consistent with empirical realities and appropriate normative concerns.

BUDGET SUMMARY
AND
BUDGET NARRATIVE

Summary
Proposal Budget

Principal Investigator and Co Principal Investigator
Mark H. Moore and George L. Kelling

Personnel

Mark H. Moore	PI/PD	10%	7,180.00
George L. Kelling	Co- PI	10-10-25%	9,923.00
Steven M. Edwards	Project Director	25-25-60%	15,300.00
Jonathan Brock		10%	4,650.00
Secretary		25%	4,625.00

Total Salaries and Wages

\$ 41,678.

Fringe Benefits 18% 18.5%

7,710.

Consultants

Chief Hubert Williams	\$135/day, 12 days	1,620.00
Mr. Robert Kliesmet	\$135/day, 12 days	1,620.00
Advisory Committee	\$135/day, 4 persons, 6 days	3,240.00
Research Assistant		1,000.00

Total Consultants

7,480.

Travel

Personnel

Four trips @ \$250 to each of 4 sites	4,000.00
Per diem \$60/day x 4 persons, 2 times	2,880.00

Consultants

Two trips, 2 persons to Boston	990.00
Per diem \$60/day x 2 persons, 2 days, 2 times	480.00

Advisory Committee

Four persons (avg. \$250) to Boston	1,000.00
Per diem \$60/day x 4, 1 time	240.00

Total Travel Expenses

9,590.

Other

Materials and Supplies	4,000.00
Computer Services	2,000.00
Telephone Interviewing	2,500.00

Total Other

8,500.

Total Direct Costs

\$ 74,958.

Indirect Costs 49%

36,729.

TOTAL DIRECT AND INDIRECT COSTS

\$ 111,687.

Personnel

The principal investigators and staff are identified. Salaries are at the predicted levels of July 1981.

Fringe Benefits

18.5% is the current established Harvard University fringe benefit rate.

Consultants

Advisory Committee- Four advisory committee members will be paid at the customary rate of \$135 per day.

Consultants- Two consultants will be paid at the customary rate of \$135 per day.

Research Assistant- Funds for a research assistant are proposed. This person will be paid at a rate of approximately \$6.50 per hour. This research assistant will be involved in the legal analysis and the analysis of the dispute resolution documents.

Travel

Each senior staff member will travel four times to one of the four research sites. Because the sites have not yet been identified we are estimating travel expenses of \$250 for each trip, plus the standard per diem rate of \$60.

Because the advisory committee members have yet to be identified we are estimating travel expenses at \$250 per trip, plus the standard per diem rate of \$60. One trip to Boston for each member of the advisory committee is budgeted.

Expenses are included for two trips each to Boston for Mr. Robert Kliesmet of the International Union of Police Associations and Chief Hubert Williams of Newark, New Jersey. Airfares and per diem expenses are at current rates.

Other

Materials and Supplies- \$4,000 has been estimated for materials and supplies. This will consist of consumable supplies, xeroxing, postage, and routine miscellaneous expenses. This estimate anticipates mailed surveys during the formal research stage.

Computer Services- Computer services are estimated at \$2,000. These estimated costs are based upon Harvard University rates but the work will be completed on non-OIT machines.

Telephone- Because some telephone interviewing will take place during all stages of the research telephone costs are estimated at \$2,500.

Indirect Costs

Indirect costs are calculated at Harvard University present audited rate of 49%.

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STAFF' VITAE

Curriculum Vitae

Mark Harrison Moore

Personal Data:

Present Address:

134 Watson Road
Belmont, Massachusetts 02178

Date of Birth:

March 19, 1947

Office Address:

79 Boylston Street, Room 206
Kennedy School of Government
Harvard University
Cambridge, Massachusetts 02138

Marital Status:

Married, 3 children

Educational
Background:

B.A., Yale University (Summa Cum Laude and
Honors with Exceptional Distinction in
Political Science and Economics), 1969

M.P.P., Kennedy School of Government,
Harvard University, 1971

Ph.D., Kennedy School of Government,
Harvard University, 1973

Previous
Professional
Experience:

July, 1979-Present

Guggenheim Professor of Criminal Justice Policy and
Management, Kennedy School of Government, Harvard
University. Major teaching responsibilities include
courses on Institutional Analysis, Public Management,
Uses and Limitations of Social Science in Public Policy
and Law and Discretion in Criminal Justice Administration.
Major administrative responsibilities include developing
a teaching and research program in criminal justice
policy and management, and coordinating the development
of a school wide curriculum in institutional analysis
and public management.

September, 1976-
July, 1979

Associate Professor of Public Policy, Kennedy School
of Government, Harvard University. Major teaching
responsibilities included courses on Institutional
Analysis and Public Management.

Assistant Professor of Public Policy, Kennedy School of Government, Harvard University. Major teaching responsibility was Workshop II: a course in which advanced graduate students in Public Policy wrote sustained pieces of policy analysis on topics of their choice.

January, 1974-
September, 1975

Special Assistant to the Administrator and Chief Planning Officer, Drug Enforcement Administration, U.S. Department of Justice. Responsibilities in this job included the development of a national narcotics enforcement strategy, planning for the development of DEA as the "lead agency" for implementing that strategy, the evaluation of specific programs then operating in DEA, and the coordination of short run operational programs of special interest to the Administrator.

September, 1973-
January, 1974

Assistant Professor of Public Policy, Kennedy School of Government, Harvard University. Major teaching responsibilities included a course on Political and Bureaucratic Analysis and Workshop I, a course designed to allow students to do policy analyses on particular problems.

1971-1973

Teaching Fellow and Instructor in the Public Policy Program at the Kennedy School of Government.

Other Professional Experience

Chairman of a National Academy of Sciences Panel on Alcohol Control Policies; Consultant to the National Institute of Drug Abuse and the U.S. Department of Justice; Council member, Public Policy and Management Program, Inter-collegiate Case Clearing House; Editorial Board of Public Policy; Advisory Board of the Center for Econometric Studies of the Justice System, Hoover Institution, Stanford University.

Honorary Societies

Phi Beta Kappa

Major Interests

Crime and Criminal Justice Policy and Management; Organizational Behavior; Public Management; Normative Theories of the State

References

See Attached Sheet.

References

Graham T. Allison, Dean of the Kennedy School of Government,
Harvard University

Richard E. Neustadt, Professor of Government, Harvard University

Thomas C. Schelling, Professor of Economics, Harvard University

James Vorenberg, Professor of Law, Harvard University

James Q. Wilson, Henry Lee Shattuck Professor, Harvard University

Richard Zeckhauser, Professor of Political Economy, Harvard University

Research and Teaching

Mark H. Moore

November, 1979

I. Scholarly Publications

A. Current Publications

1. Buy and Bust: The Effective Regulation of an Illicit Market in Heroin; Lexington Books (1977)
2. (With James Q. Wilson and I. David Wheat) "The Problem of Heroin," The Public Interest, Number 24, Fall 1972.
3. "Policies to Achieve Discrimination of the Effective Price of Heroin," American Economic Review, Vol. LXIII, No. 2 May, 1973.
4. (With Others) "The Case of the Fourth Platoon," Journal of Urban Analysis, 1974, Vol. 3.
5. "Anatomy of the Heroin Problem," Policy Analysis, Vol. II, No. 4, Fall, 1976.
6. (With Graham T. Allison) Special Edition of Public Policy on "Implementation Analysis", Spring, 1978.
7. "Re-Organization Plan #2 Reviewed," Public Policy, Vol. 26 No. 2 (Spring 1978).
8. "A Feasibility Estimate of a Policy Decision to Expand Methadone Maintenance," Public Policy, Vol. 26, No. 2 (Spring 1978).
9. "Limiting Supplies of Drugs to Illicit Markets," Journal of Drug Issues, Spring, 1979.

B. Forthcoming Publications

1. "Statesmanship in a World of Particular Substantive Choices" March, 1977. (To be published by the American Enterprise Institute in a volume entitled, Statesmen, Bureaucrats, Policy Scientists: Who Governs?)
2. "Notes Towards a National Strategy Towards White Collar Crime" August, 1978. (To be published in a book edited by Herbert Edelhartz entitled, National Strategies Towards White Collar Crime)

C. In-Process Publications

1. Heroin Policy: A Strategic Perspective for State and Local Governments (Revision of Doctoral Dissertation)
2. (With Phillip Cook) Gun Control Policy: An Analysis of Potential Benefits and Promising Directions (A book length analysis of the costs and benefits of controlling uses and abuses of handguns)
3. "The Structure of Moral Obligations That Surround Public Officials" (An essay on the ethical dimensions of a public official's actions to be included in a book of essays and cases on The Moral Obligations of Public Officials)
4. Institutional Analysis and the Problem of Implementation (A textbook based on the curriculum materials of Public Policy 240)

II. Curricular Materials

A. Notes on Aspects of Political Analysis and Public Management

1. "An Overview of the Public Policy 240 and Public Policy 260 Curriculum," April, 1978.
2. "The Logic of Explanation and the Uses of Conceptual Models," October, 1978.
3. "Doing Model III Analyses of Streams of Government Choices in a Given Policy Area," October, 1977.
4. "An Outline of Model P," 1970.
5. "Crisis Politics," 1969.
6. "Memorandum on the Ethics Component of Public Policy 260," January,

B. Published Case Materials in Political Analysis and Public Management

1. (With Others) "The Case of the Fourth Platoon" and "Response to the Fourth Platoon Assignment" 1971.
2. "The Full Service Model of Policing"
3. "The Voting Rights Act of 1965: Background Note
" " " " " " : (A) The Selma Campaign
" " " " " " : (B) LBJ and the Dept. of Justice
" " " " " " : (C) Congress & The Voting Rights Act

4. "Hunger in America, 1965-1969"
5. Methadone Maintenance (A): The Analyst's View
" " (B): The Entrepreneur's View
6. "The Saturday Night Massacre" (A)
7. (With Joseph Bower) "Border Management (A)" and "Border Management (B)"

C. In-Process Case Materials in Political Analysis and Public Management

1. Gun Control in America (A): The History of the Issue
" " " " (B): A Prediction Exercise
" " " " (C): A Policy Design Problem
" " " " (D): The Bureau of Alcohol, Tobacco & Firearms
2. Joan Claybrook and the National Highway Traffic Safety Administration

D. Curriculum Materials for "Discretion in the Administration of Justice"

1. "Some Notes on the Idea of Discretion" June, 1977.
2. "Preliminary Thoughts on an Overall Crime Reduction Strategy" January, 1976.
3. "Alternative Models of Organized Crime" January, 1976.
4. "A Preliminary Analysis of the Problems of Delay in Court Processing" September, 1977.

III. Reports to Government Agencies and Testimony

1. White Paper on Drug Abuse, Executive Office of the President, September, 1975. (I worked on the central staff of about five people who produced this document. Much of the language of Chapter 1 is mine, as well as many of the charts and analysis of Chapter 2.)
2. "A Brief Analysis of DEA Coordination with Patrol Forces on the Southwest Border," Drug Enforcement Administration, June, 1974.
3. "An Analysis of the Policies and Procedures of the Office of Inspection," Drug Enforcement Administration, November, 1974.
4. "Report of the Committee on the Basic Agent Training Committee," Drug Enforcement Administration, June, 1974.
5. "Statement of John R. Bartels, Administrator of the Drug Enforcement Administration between the House Appropriations Subcommittee," Drug Enforcement Administration, June, 1975.

6. "Statement of Mark H. Moore before the House Select Committee on Intelligence," November, 1975.
7. (With James Q. Wilson and Ralph Gants) "Violent Attacks and Chronic Offenders: A Report to the New York State Assembly," January, 1978.

IV. Major Speeches and Presentations

1. "An Analytic View of Drug Control Policies:" (A speech delivered in plenary session to the Committee on Problems of Drug Dependence, June 4, 1978.
2. "The Decision to Legalize Heroin," (A speech delivered to the Bar Association of San Francisco) March, 1977.

V. Courses Designed and Taught (1970-1974, 1975-1979)

1. Public Policy 140: Political and Bureaucratic Analysis

Course Assistant:	1970-1971	(Offered at KSG. Taught jointly with Richard Neustadt, Graham Allison, John Steinbruner. Lead Professor starting in 1976)
Teaching Fellow:	1971-1972	
Instructor:	1972-1973	
Asst. Professor:	1973-1975	
Associate Professor:	1976-1979	
Professor:	1979-1980	
2. Public Policy 241: The Law and Public Policy

Teaching Fellow:	1971-1972	(Counterpart course to Public Policy 140 taught at Harvard Law School with Richard Neustadt, Graham Allison and Lance Liebman)
Instructor:	1972-1973	
3. Public Policy 250: Workshop in Policy Analysis (I)

Teaching Fellow:	1971-1972	(Offered at KSG. Taught jointly with David Mundel)
Instructor:	1972-1973	
Asst. Professor:	1973-1974	
4. Public Policy 253: Policy Analysis (III)

Associate Professor:	1975-1979	(Offered at KSG. Taught jointly with Thomas C. Schelling)
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5. Public Policy 260: Public Management

Associate Professor:	1976-1979	(Offered at KSG. Taught jointly with Phillip Heymann, Joseph L. Bower, Gordon Chase, Charles J. Christenson and Richard G. Darman)
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6. Public Policy 273: Discretion in the
Administration of Criminal Justice

Associate Professor: 1976-1979

(Offered at the Harvard Law School. Taught jointly with James Vorenberg)

7. Social Sciences 151: Crime, Human
Nature and Public Policy

Associate Professor: 1977

(Harvard undergraduate course for 270 students. Taught jointly with J.Q. Wilson and Richard J. Herrnstein)

8. Social Sciences 19: The Uses and
Limitations of Social Science in
Public Policy

Associate Professor: 1978

(Harvard undergraduate course. Taught with Edward Banfield)

9. The Program for Senior Managers
in Government

Associate Professor: 1977-1979

(An Executive Training Program for Senior Level Managers in Government. Taught with Phillip Heymann, Joseph L. Bower, Charles J. Christenson and Steven Bradley)

10. Module on "Implementation Analysis"

Assistant Professor: 1975

11. Module on "Public Opinion and Policy
Outcomes"

Assistant Professor: 1976

(Taught jointly with Gary Orren)

Selected Publications

Mark H. Moore

November, 1980

"The Problem of Heroin," The Public Interest, Number 24, Fall 1972. Co-authored with James Q. Wilson and I. David Wheat.

"Policies to Achieve Discrimination of the Effective Price of Heroin," American Economic Review, Vol. LXIII, No. 2, May 1973.

"The Case of the Fourth Platoon," Journal of Urban Analysis, 1974, Vol. 3. Co-author.

"Anatomy of the Heroin Problem," Policy Analysis, Vol. II, No. 4, Fall 1976.

Buy and Bust: The Effective Regulation of an Illicit Market in Heroin; Lexington Books (1977).

"Re-organization Plan #2 Reviewed," Public Policy, Vol. 26, No. 2, Spring 1978.

Special Edition of Public Policy on "Implementation Analysis," Spring 1978. Co-authored with Graham T. Allison.

"A Feasibility Estimate of a Policy Decision to Expand Methadone Maintenance," Public Policy, Vol. 26, No. 2, Spring 1978.

"Limiting Supplies of Drugs to Illicit Markets," Journal of Drug Issues, Spring, 1979.

"Statesmanship in a World of Particular Substantive Choices," in Robert A. Goldwin, (Ed.), Analysts and Statesmen: Who Governs. American Enterprise Institute, 1980.

"Notes Towards a National Strategy To Deal With White Collar Crime," in Herbert Edelhertz and Charles Rogovin, Eds.), A National Strategy for Curtailing White Collar Crime, Lexington Books, 1980.

"The Police and Weapons Offenses," Annals of the American Academy of Political and Social Science, 452, November 1980.

VITA

GEORGE L. KELLING

January 1980

Personal Data:

317 Commonwealth Avenue
Apt. #2
Boston, Massachusetts 02115

Birth Date: August 21, 1935
Birthplace: Milwaukee, Wisconsin

Education:

Washington High School, Milwaukee, Wisconsin, 1952

St. Olaf College, Northfield, Minnesota, 1956, B.A.

Northwestern Lutheran Theological Seminary, Minneapolis, Minnesota,
1956-58

University of Wisconsin-Milwaukee, 1962, M.S.W.

University of Wisconsin-Madison, 1973, Ph.D.

Dissertation: "The Accelerated Program of Professional Social
Work Education at the University of Wisconsin,
Madison, Compared with the Traditional Program,"
under the direction of Alfred Kadushin.

Academic and Professional Experience:

January 1980 - Present	Research Fellow, Harvard University
July 1972 - November 1979	Evaluation Field Staff Director, Police Foundation
May 1971 - July 1972	Research Consultant, Police Foundation
September 1965 - July 1970	Assistant Professor, School of Social Welfare, University of Wisconsin-Milwaukee
January 1964 - Sept. 1965	Director of Child Care and Social Services, Minnesota Residential Treatment Center, Lino Lakes, Minnesota
June 1962 - January 1964	Assistant Superintendent of Detention, Milwaukee County Detention Home, Milwaukee, Wisconsin

George L. Kelling

1959 - 1960	Probation Officer, Hennepin County Court Services, Minneapolis, Minnesota
1956 - 1959	Child Care Counselor, Hennepin County, Minneapolis, Minnesota

Other Professional Service Activities:

Consultant and grant author to Commando Project I, Milwaukee, 1967-1972

Consultant to Milwaukee Professional Policeman's Protective Association, 1969 - present

Consultant to International Union of Police Associations

Courses Taught:

Survey of Criminal Justice System
Correctional Services
Psychopathology
Social Change
Social Work as a Profession
Community Alternatives to Corrections
Contemporary Urban Problems

Developed, organized and participated in various institutes for U.W. Extension including in-service training at state correctional institutions.

Supervised research projects of students; various reports issued.

Faculty Committees, University of Wisconsin:

Member of Faculty-Student Committee for Center for Afro-American Studies, 1968-1970

Member of Search and Screening Committee for Center for Afro-American Studies, 1969

Various other committees on school, college, university and inter-institutional levels

Grants Awarded, 1967 - 1970:

OLEA - 1967, begin Criminal Justice program at University of Wisconsin-Milwaukee - \$18,000

Board of Government Operations - 1967, (State of Wisconsin) - \$105,000. Commando Project I in collaboration with Jules Modlinski, Marquette University.

Milwaukee Association of Commerce - 1968, \$135,000. Commando Project I in collaboration with Jules Modlinski, Marquette University.

George L. Kelling

Department of Local Affairs - 1968, \$14,000. Summer work program in collaboration with Jules Modlinski, Marquette University.

Milwaukee Association of Commerce and Social Development Commission - 1968, \$35,000. Summer work program in collaboration with Jules Modlinski, Marquette University.

Wisconsin Council on Criminal Justice, Milwaukee Association of Commerce - 1969, \$168,000. Commando Project I in collaboration with Jules Modlinski, Marquette University.

Wisconsin Council on Criminal Justice - 1969, \$28,000. Institutional Liaison Program in collaboration with Jules Modlinski, Marquette University

Milwaukee Association of Commerce - 1979, \$48,000. Summer work program in collaboration with Jules Modlinski, Marquette University.

Wisconsin Council on Criminal Justice, Milwaukee Association of Commerce - 1970, \$226,168. Commando Project I, Institutional Liaison Program in collaboration with Jules Modlinski, Marquette University.

Milwaukee Association of Commerce - \$50,000 and Wisconsin Council on Criminal Justice for an additional \$75,000 - 1971. Year round career exposure program in collaboration with Jules Modlinski, Marquette University.

OLEA - 1968, \$86,456. Wrote narrative for Institute of Governmental Affairs University of Wisconsin Extension developing a multi-media course for jail administration.

Social Development Commission - Milwaukee (OEO) - 1970, \$1,200. Develop record-keeping system - Commando Project I.

Milwaukee Urban League - Drug Education proposal - \$265,000.

Evaluation of Commando Project I - LEAA - 1972, \$10,000. Summer program in collaboration with Irving Piliavin.

During the period 1971-1979, the following research grants were received by the evaluation field staff from the board of the Police Foundation and other funding sources:

Kansas City Experiments and Evaluations (PF)	\$1,474,191
Dallas Evaluation (PF)	642,623
New Jersey Foot Patrol (PF)	339,967
Birmingham Special Anti-Robbery Experiment (PF)	470,002
Staff Exchange Program with Home Office (London) (PF)	25,600
Police Role Study (LEAA)	361,875
Coordination of Cross National Research (LEAA)	74,846
Police Stress Study (PF)	102,550
Police Stress Study (HEW)	9,500

George L. Kelling

Publications:

- "Caught in a Crossfire of Concepts, Correction and the Dilemmas of Social Work," Crime and Delinquency, Vol. 14, No. 1, January, 1968.
- "Schools of Social Professions," Journal of Home Economics, Vol. 60, No. 6, June, 1968, with Quentin Schenk.
- "Poverty: Problems, Programs and Proposals," Child Welfare, Vol. 1, No. 1, 1971.
- "Stresses Accompanying the Professionalization of Corrections," Crime and Delinquency, 1971. Co-authored with Robert Kliesmet.
- "The Proactive-Reactive Patrol Deployment Experiment," Issues in Police Patrol, Sweeney and Ellingsworth, Kansas City, Missouri Police Department and Police Foundation, 1973.
- "Case I - First Phase of Evaluation of Dallas Program," in Joseph H. Lewis, Evaluation of Experiments in Policing, Police Foundation, December 1972.
- "Case IV - Kansas City South Patrol Division; Proactive-Reactive Patrol Deployment Project," in Joseph H. Lewis, Evaluation of Experiments in Policing, Police Foundation, December, 1972.
- "Evaluation of Neighborhood Team Policing in New York City," (Review of Paper) in James G. Albert (Ed.), Social Experiments and Social Program Evaluation, Cambridge, Mass.: Ballinger Publishing Co., 1974.
- Kansas City Preventive Patrol Experiment: A Summary Report, Police Foundation, October, 1974. Co-authored with Tony Pate, Duane Dieckman, and Charles Brown.
Reprinted in Seymour Halleck et al. The Aldine Crime and Justice Annual 1974, Aldine Publishing Company, Chicago, 1974, pp. 196-236.
- Gene V. Glass. Evaluation Studies Review Annual Vol. 1, 1976, Sage Publications, Beverly Hills, Calif., pp. 605-657.
- Alvin W. Cohn and Emilio C. Viano. Police Community Relations: Images, Roles, Realities. J. B. Lippincott, Philadelphia, 1976. pp. 536-546.
- Sir Leon Radzinowicz and Marvin Wolfgang. Crime and Justice Vol. II The Criminal in the Arms of the Law, Basic Books, Inc., New York, 1977. pp. 118-128.
- Francis G. Caro. Readings in Evaluation Research, Russell Sage Foundation, New York, 1977. pp. 323-342.
- Kansas City Preventive Patrol Experiment: A Technical Report, Police Foundation, March, 1975. Co-authored with Tony Pate, Duane Dieckman, and Charles Brown.

George L. Kelling

"The Davis-Knowles Critique of the Kansas City Preventive Patrol Experiment," The Police Chief, June, 1975, pp. 40-45. Co-authored with Tony Pate and Charles Brown.

A Response to "What Happened to Patrol Operations in Kansas City?," Journal of Criminal Justice, Vol. 3, No. 4, Winter, 1975, pp. 299-320. Co-authored with Tony Pate.

"The Person-Role Fit in Policing: The Current Knowledge and Future Research," in William H. Kroes, Joseph J. Hurrell, Jr., Job Stress and The Police Officer, HEW Publication No. (NIOSH) 76-187, December, 1975. Co-authored with Mary Ann Wycoff.

"An Innovative Program Reducing Length of Training: Evaluation Procedures and Outcome," Journal of Education for Social Work, Vol. 13, No. 2, Spring, 1977. Co-authored with Alfred Kadushin.

"Police Patrol--Some Future Directors," in Alvin W. Cohen (Ed.), The Future of Policing, Vol. 9, Sage Criminal Justice System Annuals, Sage, Beverly Hills, Calif., 1978, pp. 151-182.

"Police Field Services and Crime: The Presumed Effects of a Capacity," Crime and Delinquency, April, 1978.

The Dallas Experience: Organizational Reform, Police Foundation, Washington, D.C., 1978. Co-authored with Mary Ann Wycoff.

The Dallas Experience: Human Resource Development, Police Foundation, Washington, D.C., 1978. Co-authored with Mary Ann Wycoff.

"Developing Indicators of Program Effectiveness: A Process," in Emergency Medical Services: Research Methodology, HEW Publication No. (PHS) 78-3195.

"Development of Staff for Evaluations," in Emergency Medical Services: Research Methodology, HEW Publication No. (PHS) 78-3195, December, 1977. Reprinted in Evaluation Studies Review Annual Vol. IV, 1979, Sage Publications, Beverly Hills, California.

"The Kansas City Preventive Patrol Experiment: A Critical View from the Inside," in Tornatzky and Bybee (Eds.), Non Random Error: Issues in Social Experimentation and Program Evaluation, University of Pennsylvania Press, 1979.

"The Quality of Urban Life and The Police," in John P. Conrad (Ed.), The Evaluation of Criminal Justice, Sage Publications, Beverly Hills, 1978.

"The Police Foundation: Research and Reform," in Johannes Knutsson, Eckart Kuhlhorn, and Albert J. Reiss (Eds.) Police and the Social Order, The National Swedish Council for Crime Prevention, Stockholm, Sweden, 1979, pp. 254-270. Co-authored with Joseph H. Lewis.

George L. Kelling

"Police Research in the United States," in Johannes Knutsson, Eckhart Kuhlhorn and Albert J. Reiss (Eds.), Police and the Social Order, The National Swedish Council for Crime Prevention, Stockholm, Sweden, 1979, pp. 357-366. Co-authored with Joseph H. Lewis.

"Police Research in the United States," Home Office Research Bulletin No. 7, HMSO, 1979.

"Policing: A Research Agenda for Rational Policy Making," delivered at Cambridge Institute of Criminology, July, 1979, to be published in Police Work, Saxon Publishing House, London, Fall, 1979. Co-authored with Mary Ann Wycoff and Tony Pate.

Work in Progress:

The Commandos: Street Violence to Bureaucracy. Co-authored with Jules Modlinski.

"The Role of Research in Maximizing Productivity," to be published by Solicitor General, Canada.

"Politics as Social Science Research," to be published in Robert Kidd and Michael Saks (Eds.), Advances in Social Science Research, Spring 1980.

Foot Patrol in New Jersey, to be published by the Police Foundation, Winter, 1980. Co-authored with Tony Pate, Amy Ferrara and Mary Otne.

"Issues in the Use of Observers in Large Scale Program Evaluation," in An Evaluation of a Special Anti Robbery Unit, Spring 1980. Co-authored with Carl Florez.

"Cost Benefit Analysis of a Special Anti Robbery Unit," in An Evaluation of a Special Anti Robbery Unit, Spring 1980. Co-authored with Thomas Fagin.

VITA

STEVEN M. EDWARDS

Residence

41 Brick Kiln Lane
Pembroke, Massachusetts 02359
(617) 826-4798

Office

John F. Kennedy School of Government
Program in Criminal Justice Policy
and Management
Harvard Law School
501 Pound Hall
Cambridge, Massachusetts 02138
(617) 495-5188

Personal Data

Date of Birth: July 22, 1947
Place of Birth: Rochester, Minnesota

Marital Status: Married
Janis E. Pitzen

EDUCATION

Presently

Ph.D. Candidate (ABD) School of Criminal
Justice
College of Social Science
Michigan State University
East Lansing, Michigan 48824

Areas of Specialization:

Ph.D., Multidisciplinary Social Science:
Cognates Criminal Justice: Research,
Planning and Implementation, Personnel
Development, and Law Enforcement Policy
Development. Presently completing
Dissertation.

Political Science: Public Administration,
Public Policy, and Research Methods

Ecological Psychology: Community Research
Methodology, Evaluation and Statistics.

June 1977

Master of Science in Criminal Justice
School of Criminal Justice
Michigan State University
East Lansing, Michigan 48824

August 1970

Bachelor of Science in Criminal Justice
Michigan State University
East Lansing, Michigan 48824

Employment History

*1980 to present

John F. Kennedy School of Government, Program in Criminal Justice Policy and Management, Harvard Law School, Cambridge, Massachusetts.

Research Coordinator - Primary responsibility for coordinating a subcontract for the Program in Criminal Justice Policy and Management with the Police Foundation concerning a Process Evaluation of the HUD Urban Initiative AC Program. The purpose of this evaluation is to examine the problems of crime in public housing. Primary responsibilities include recruitment and training of 12 field site observers, development of data collection materials, and administration of subcontract reports, (Monthly and quarterly) to the Police Foundation.

1978-1980

School of Criminal Justice, Michigan State University, East Lansing, Michigan.

Research Associate - Criminal Justice Manpower Planning Development Project conducted by the School of Criminal Justice for the Office of Criminal Justice Education and Training, Law Enforcement Assistance Administration. This project is assessing the feasibility of systemwide criminal justice manpower planning. Primary responsibilities include problem identification, literature review, questionnaire design and administration, field interviews, computer processing and data analysis, project report writing and publication of national survey results of criminal justice state planning agency and Law Enforcement Training Councils surveys.

Summer 1978

Police Foundation, 1909 K Street N.W., Washington, D.C.

Staff Researcher - Project: Police Roles and Their Implications for Future Organizational Structuring. The purpose of this project is to develop a data base and an analysis regarding police roles. Further, through analysis of existing data, to develop a fuller understanding of the determinants of police performance and roles. Primary responsibilities included development of bibliography, documentation and resource identification. Primary sources searched were Michigan State University, University of Wisconsin, Madison Library and special collections. Additionally contacted selected police scholars for their empirical research concerned with police role definition.

1977-1978

School of Criminal Justice, Michigan State University, East Lansing, Michigan.

Instructor - Practicum/Internship Coordinator: Administred, supervised, and planned programs of research, observation and work for graduate and undergraduate students of the School of Criminal Justice in selected federal, state and local agencies throughout the United States. Additionally contacted agencies and designed experiential study/learning environs for constructive participation in the justice systems.

Summer 1977

Police Foundation, 1909 K Street N.W., Washington, D.C.

Research Internship - Recipient, one of five internships awarded nationally by the Police Foundation in its Summer Internship Program, to work as researchers or program assistants on current Foundation projects. The Internship consisted of working, under the direction of the Police Foundation Evaluation Field Staff as a Field Observer on the Birmingham, Alabama Police Department Anti-Robbery project. The project was funded by the Police Foundation to evaluate the feasibility and impact of decoy, surveillance and saturation techniques on street and commercial robbery. Primary duties included assisting project site director in initiating implementation of the evaluation design; development and field testing of data collection instruments.

1976-1977

Criminal Justice Systems Center, School of Criminal Justice, Michigan State University, East Lansing, Michigan.

Project Data Analyst/Evaluation - Model Evaluation Project conducted for the State of Michigan Office of Criminal Justice Programs by the Criminal Justic Systems Center to evaluate twenty-five federally funded specialized police units. Primary duties were the responsibility of data collection, analysis and project report writing of research jurisdiction performance data.

1975-1976

School of Criminal Justice, Michigan State University, East Lansing, Michigan.

Graduate Teaching Assistant - Instructor with complete teaching responsibility for upper division undergraduate course in Police-Community Relations, with enrollment of 90 students per term.

Employment History (continued)

1975-1976	Research Fellow - U.S. Department of Justice (see research experience)
1971-1974	U.S. Army Military Police Corps Stationed in Frankfurt, West Germany and Oakdale, Pennsylvania. Experience and Training includes: Nuclear Weapons Security and Military Police Customs. Honorable discharge - April 24 1974, Rank of Sergeant (E-5).
1970-1971	Southeast Michigan Council of Governments Criminal Justice Division, Detroit, Michigan Criminal Justice Planner - Assisted Regional Criminal Justice Agencies, including the Detroit Police Department's Research and Planning Bureau, in developing proposals for Law Enforcement Assistance Administration funds. Staff responsibility for the Regional Criminal Justice Manpower Training Design. Wrote regional criminal justice plans for the Seven County Metropolitan Areas of Detroit. Evaluated proposals from local criminal justice agencies.

RELEVANT RESEARCH EXPERIENCE

1980 to present	John F. Kennedy School of Government Program in Criminal Justice Policy and Management (See employment history for details of research).
1978-1980	- Criminal Justice Manpower Planning Development Project (see employment history for details of research.)
Summer 1978	- Police Foundation, Washington, D.C. (See employment history for details of research.)
Summer 1977	- Police Foundation, Washington, D.C. (See employment history for details of research.)
1977	- "A Methodological Study of the Effectiveness of Proactive Specialized Police Units in Michigan." (Masters Thesis)
1976-1977	- Model evaluation of twenty-five federally funded specialized police units in Michigan.

RELEVANT RESEARCH EXPERIENCE (continued)

- 1976-1977 Criminal Justice Systems Center, School of Criminal Justice, Michigan State University.
- Summer 1975 - Research Fellowship, U.S. Department of Justice, Law Enforcement Assistant Administration. Conducted research for the State of Michigan, Office of Services to the Aging, Lansing, Michigan. "Impact of Crime on the Senior Citizen of Michigan."
- 1970-1971 - Staff Researcher for Southeast Michigan Council of Governments.
- 1969-1970 - Development of a research design, construction of survey questions, administering of questionnaire and analysis of data, for a Study of the Goals of the Dayton, Ohio Police Department.
-

PUBLICATIONS AND PAPERS

"Manpower Training and Entry Standards" Chapter 6 in Criminal Justice Manpower Planning: An Overview, Edited by John K. Hudzik, Washington D.C.: Office of Criminal Justice Education and Training, Law Enforcement Assistance Administration, U.S. Department of Justice, 1981 Monograph in Print.

Law Enforcement Standards and Training Council Manpower Planning Survey: Summary Descriptive Statistics, East Lansing: School of Criminal Justice, Michigan State University, 1980.

"Summary of State 4 Interviews" Chapter 4 in Confidential Reports: Summaries of Interviews of the Manpower Planning Project, Edited by John K. Hudzik, East Lansing: School of Criminal Justice, Michigan State University, 1980.

"Law Enforcement Standards and Training Councils: A Human Resource Planning Force in the Future" with Kenneth E. Christian. Paper presented at the Annual Meeting of the Academy of Criminal Justice Sciences, Oklahoma City, Oklahoma, 1980.

With Cary W. Cordner, The Pontiac Integrated Criminal Apprehension Project: A Final Evaluation Report. East Lansing, Michigan: School of Criminal Justice, Michigan State University, 1979.

Co-authored with Kenneth E. Christian. "Supervisory Promotional Practices," in Robert C. Trojanowicz, The Environment of the First Line Supervisor. Prentice-Hall. January, 1980.

PUBLICATIONS AND PAPERS (continued)

Co-authored with Kenneth E. Christian. "Supervisory Promotional Practices," in Robert C. Trojanowica, The Environment of the First Line Supervisor. Prentice-Hall. January, 1980.

Co-authored with Kenneth E. Christian. "The Care and Handling of the College Graduate in Law Enforcement." Police Chief. August, 1979.

With Ralph G. Lewis, and Jack R. Greene, Special Police Units in Michigan: An Evaluation. Lansing, Michigan: Michigan Office of Criminal Justice Programs, 1977.

With Ralph G. Lewis, and Jack R. Greene, Special Police Units in Michigan: An Executive Summary. Lansing, Michigan: Michigan Office of Criminal Justice Programs, 1977.

PROFESSIONAL SERVICE

Associate Editor: American Society for Public Administration, Section on Criminal Justice Administration, Newsletter, 1976.

Consultant: Police Personnel Selection and Promotion for Local Police and Sheriffs Departments

ORGANIZATIONAL MEMBERSHIPS

Academy of Criminal Justice Sciences
American Society of Criminology
American Society for Public Administration
Evaluation Research Society

REFERENCES

Furnished Upon Request

JONATHAN BROCK

1105 Massachusetts Avenue
Cambridge, Massachusetts 02138

Phone: Office: 617-495-1134
Home: 617-547-0665

Employment

October 1977 to present	HARVARD UNIVERSITY John F. Kennedy School of Government Faculty member responsible for development and teaching of public personnel management and labor relations. Course development in business and public policy for graduate students and corporate executives. Public and private sector consulting in industrial relations, business-government relations, management development and organizational strategy, systems and problems.	Cambridge, Massachusetts
July 1977 - September 1977	EXECUTIVE OFFICE OF THE PRESIDENT Energy Policy and Planning Produced for Secretary of Energy comprehensive organizational plan for statistical and analytic arm of U.S. Department of Energy. Chaired group of senior managers from the energy agencies being consolidated. Identified and resolved conflicts related to strategy, functions, design resource needs and operations. Attention to transition and implementation.	Washington, D.C.
June 1976 - July 1977	U.S. DEPARTMENT OF LABOR Occupational Safety and Health Administration (OSHA) Executive Assistant to Assistant Secretary. Involved in all policy and management issues. Significant energies expended to improve organizational decision making and to implement priorities for use of top executive time.	Washington, D.C.
March 1975 - June 1976	OFFICE OF THE SECRETARY OF LABOR Special Assistant to the Secretary Assisted the Secretary in development of policy positions and statements in economic and other selected areas.	Washington, D.C.
June 1974 - December 1974	OFFICE OF ECONOMIC STABILIZATION Department of the Treasury Project manager and editor responsible for three volume history of the 1971-1974 wage-price control program; staffing and management of 50 persons.	Washington, D.C.
November 1973 - June 1974	COST OF LIVING COUNCIL Office of Economic Policy Acting deputy during period of removal of wage and price controls. Day-to-day responsibility for 30 persons, including quality control and policy guidance on macro-economic analyses and industry studies.	Washington, D.C.
July 1973 - November 1973	COST OF LIVING COUNCIL Office of the Executive Secretary Rapid preparation of decision memoranda and study papers on formulation of price control regulations.	Washington, D.C.
summer and part-time	While employed by major bank, frustrated in attempt to build econometric model to forecast bank loans. Economic and financial reports for major brokerage house.	

Education

1971-1973	HARVARD BUSINESS SCHOOL Masters in Business Administration.	Boston, Massachusetts
1967-1971	FRANKLIN AND MARSHALL COLLEGE A.B., magna cum laude, with honors in economics. Significant work in psychology. Member of Phi Beta Kappa and other honor societies.	Lancaster, Pennsylvania

Personal

Weightlifter and gymnast in college and high school. Current leisure interests: music - performance and listening; reading - especially history, politics, adventure novels; tennis and sometimes jogging.

Publications

"Removing Controls: The Policy of Selective Decontrol" (co-author), in Historical Working Papers on the Economic Stabilization Program, 1971-1974 (editor). U.S. Government Printing Office, 1974.

Author of numerous case studies on management in the public sector.
Forthcoming book on public sector labor relations.

STATEMENTS FROM CONSULTANTS



**HUBERT WILLIAMS
POLICE DIRECTOR
CITY OF NEWARK**

**22 FRANKLIN STREET
NEWARK, NEW JERSEY 07102
733-6007**

**KENNETH A. GIBSON
MAYOR**

April 22, 1981

George L. Kelling
Harvard Law School
501 Pound Hall
Cambridge, Massachusetts 02138

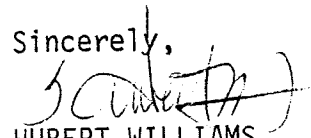
Dear Dr. Kelling:

I am pleased to accept your invitation to become a Consultant to the project which you are now proposing.

I continue to have a strong interest in delivering quality police services and in the development of research which contributes to those quality police services.

I am aware of the importance of unions in the development of public policy regarding policing and will enjoy making whatever contributions I can.

Sincerely,


HUBERT WILLIAMS
POLICE DIRECTOR

HW:ch

A letter from the International Union of Police Associations expressing their willingness to cooperate in this research effort has become lost in the mails. As soon as it is received a copy will be forwarded to your attention.