SUPERVISION OF POLICE PERSONNEL
SUPERVISION OF POLICE PERSONNEL

NINETH EDITION

Nathan F. Iannone
Inspector (Ret.)
Los Angeles Police Department
Professor Emeritus
Fullerton College, Fullerton, California

Marvin D. Iannone
Chief of Police (Ret.)
Beverly Hills, California
Assistant Chief of Police (Ret.)
Los Angeles Police Department

Jeff Bernstein
President, Bernstein and Associates
Sergeant (Ret.)
Miami Beach Police Department

Pearson
Brief Contents

FOREWORD XIX
PREFACE XX
ACKNOWLEDGMENTS XXIV

Chapter 1 The Supervisor’s Role 1
Chapter 2 The Supervisor’s Function in Organization, Administration, and Management 12
Chapter 3 Leadership, Supervision, and Command Presence 29
Chapter 4 The Training Function: Problems and Approaches to the Instructional Process 63
Chapter 5 Interpersonal Communications 94
Chapter 6 Principles of Employee Interviewing 114
Chapter 7 Some Psychological Aspects of Supervision 133
Chapter 8 Special Problems in Counseling and Remediation 150
Chapter 9 Employee Dissatisfaction and Grievances 173
Chapter 10 Discipline: Principles, Policies, and Practices 182
Chapter 11 Personnel Complaint Investigation Procedures and Techniques 196
Chapter 12 Personnel Evaluation Systems and Performance Rating Standards 219
Chapter 13 Tactical Deployment of Field Forces 254
Chapter 14 Legal Knowledge Every Supervisor and Manager Should Have 299
Chapter 15 Other Important Supervisory and Management Topics 325

INDEX 348
Contents

FOREWORD XIX
PREFACE XX
ACKNOWLEDGMENTS XXIV

Chapter 1  The Supervisor’s Role  1
Supervisory Position  1
Technical and Supervisory Competence  3
Organizational Knowledge  4
Basic Supervisory Responsibilities  4
  Planner  4
  Personnel Officer  5
  Trainer  5
  Coach  6
  Counselor  6
  Controller  7
  Decision Maker and Communicator  7
  Leader  8
Transition from Officer to Supervisor  8
Summary  11  •  Review Questions  11  •  Exercises  11  •  Endnotes  11

Chapter 2  The Supervisor’s Function in Organization, Administration, and Management  12
Administrative Functions  13
  Planning  13
  Organizing  15
  Staffing  16
  Directing  16
  Coordinating  16
Basic Organizational Structures  18
  Line Organization  18
  Functional Organization  19
  Line and Staff Organization  20
Division of Work  21
Unity of Command  22
Span of Control  22
Delegation  23
  Delegation Failures  24
  Delegation Process  24
  Personnel Development by Delegation  25
The Exception Principle  25
Chapter 3

Leadership, Supervision, and Command Presence 29

Development of Leadership Ability 30

Types of Leaders 31
- Autocratic Leader 31
- Democratic or Participatory Leader 31
- Free Rein or Laissez-Faire Leader 32

Situational Leadership 32

Transformational Leadership and Empowerment 34

Selection of a Leadership Style 35

Command Presence and Leadership 35

Elements of Leadership 36
- Discipline 36
- Ethics 36
- Common Sense 36
- Psychology 36

Motivation of Employees 37

Situational Analysis and Self-Appraisal 38

Leadership Characteristics 39

Personality of a Leader 40

Human Relations and Leadership 40
- Manner of the Leader 41
- Language of the Leader 42
- Commendations and Praise by the Leader 42
- Criticism and Reprimands by the Leader 43

Knowledge of Subordinates 44

Supervision of the Marginal Employee 44

Order Giving 45
- Direct Commands 45
- Requests 45
- Implied or Suggested Orders 46
- Requests for Volunteers 46
- Method of Communication 46
- Follow-Up 47

Decision-Making 47

Drawing of Conclusions 48

Moderation in Supervision 48

Fraternization 49

Example Setting 49

Female Supervisors 50

Supervising a Diverse Workforce 50

Supervising the Multigenerational Workforce 52

Avoidance of Gender Bias and Harassment 53
Symptoms of Leadership Failure 54
Leadership Issues in Community Policing 55
Magnifying Community Policing through Social Media 57
Summary 58 • Review Questions 59 • Exercises 59 • Endnotes 60

Chapter 4
The Training Function: Problems and Approaches to the Instructional Process 63
Importance of Training 64
Causes and Effects of Training Failure 64
Remedy for Failure 64
Instructor’s Approach to Teaching 65
Instruction as a Supervisory Responsibility 66
Need for Training 66
Principles of Learning 67
Principle of Readiness 67
Principle of Effect 67
Principle of Repetition 68
Principle of Primacy 68
Principle of Recency 69
Principle of Intensity 69
Learning Process Variables 69
Learning Rate 69
Andragogy 70
Adult Learner Differences 71
Motivation 71
Interest and Learning Effectiveness 71
Learning Patterns 72
Instructional Goals and Specific Objectives 72
Analysis of Job Tasks and Material Selection 73
Lesson Plan 73
Form 74
Teaching Sequence 74
Learning by Association 76
Five Steps of Teaching 76
Introduction 76
Presentation 77
Review 77
Application 78
Test 78
General Problems Affecting Teaching Method 79
Common Causes of Teacher Ineffectiveness 79
Teaching Methods 80
Lectures 80
Roll Call Training 81
Guest Speakers 82
Online Training 82
Role Playing and Field Problems 83
Characteristics of Communications 104
  Autocratic Communications 104
  Democratic Communications 105
  Free Rein Communications 105
Types of Communicators 105
Written Communications 105
  Clarity of Expression 106
  Simplicity 106
  Accuracy 106
  Arrangement 106
  Style 107
  Summary, Conclusions, Recommendations, and Plan of Action 107
  Format 107
Email 107
Effectively Managing Your Email 108
  The Four Ds for Decision-Making Model 108
Manuels—Orders 110
Briefing 111
Proofreading and Editing 111
Typical Deficiencies in Writing 111
Summary 111 • Review Questions 112 • Exercises 112 • Endnotes 113

Chapter 6
Principles of Employee Interviewing 114
Interrogation versus Interview 115
Major Functions of the Interview 115
Preparation for an Employee Interview 115
  Preliminary Planning 115
  Privacy 116
  Types of Questions 116
Conducting an Interview 116
  Interview Opening 117
  Use of Questions 117
  Interviewer Attitude 118
  Employee-Centered Approach 119
  Active Listening 119
Elimination of Bias 121
Confidential Agreements 121
Advice Giving 121
Psychological Reactions in the Interview 122
Types of Personnel Interviews 122
  Informal Interview 122
  Employment Interview 123
  Progress Interview 124
  Grievance Interview 126
  Problem-Solving Interview 127
  Disciplinary Action Interview 127
  Separation Interview 128

Contents XI
Chapter 7

Some Psychological Aspects of Supervision 133

Drives, Satisfactions, and Needs 134
  Drives 134
  Satisfactions 134
  Needs 134

Inferiority Complex 135

Catharsis 135

Fixation and Regressive Behavior 136

Supervisory Problem: The Frustrated Employee 136

Nature of Frustration 137

Barriers Causing Frustration 138
  External Barriers 138
  Internal Barriers 138

Frustration and Performance 138

Some Common Reactions to Frustration 139
  Aggression 140
  Attitude of Resignation 141
  Escape 142
  Excuses and Rationalizations 143
  Regression 144
  Fixations 144

Frustration Prevention 145

Relief for Frustration: Some Commonsense Approaches 146

Summary 147 • Review Questions 148 • Exercises 148 • Endnotes 148

Chapter 8

Special Problems in Counseling and Remediation 150

Nature of Problem Drinking 150

Development and Symptoms of Problem Drinking 152
  Development of the Problem 152
  Symptoms of the Problem 152

Some Options in Treating the Problem Drinker 154
  Off-the-Job Problem Drinking 155
  Indirect Solicitation for Help 155
  Job-Related Problem Drinking 155
  Drinking and Deteriorating Job Performance 156

Counseling for the Problem Drinker 156
  Preliminary Action 157
  Counseling Sessions 157
  Note Taking 159

Contents XII
Chapter 9

Employee Dissatisfaction and Grievances 173

Dissatisfaction with Work Environment 174
Inept Supervisory Practices 174
Misunderstandings of Policies, Rules, and Procedures 174
Management Failures 175
Rules of Conduct 175
Rule Enforcement 175
Due Process Violations 175
Supervisory Influence on Non-Job-Related Employee Behavior 177
Recognition of Employee Dissatisfaction 177
Supervisory Approaches to Employee Dissatisfaction 178
Employee Grievances 178
Noncontractual Matters 178
Contractual Violations and Grievances 179
Working with Unions 179

Summary 180 • Review Questions 180 • Exercises 180 • Endnotes 181

Chapter 10

Discipline: Principles, Policies, and Practices 182

Forms of Discipline 182
Positive Discipline 183
Negative Discipline 183
Adverse Effects of Punishment 184
Detection of Problem Employee Behavior 184
Requisites of Punishment 186
Certainty 186
Swiftness 186
Fairness and Impartiality 186
Chapter 11

Personnel Complaint Investigation Procedures and Techniques

Case Preparation

Sources of Complaints
- Internal Complaints
- External Complaints
- Anonymous Complaints

Non-Job-Related Misconduct

Observed Infractions
- Discuss in Private
- Record Results
- Follow Up

Complaint Types
- Primary Complaints
- Anonymous Complaints
- Complaints from Intoxicated Persons
- Second-Party Complaints

Recording of Complaints

Complaint Investigation
- Avoidance of Premature Conclusions
- Prevention of Additional Harm
- Arrest and Booking of Employees
- Promptness of Investigation
- Collection of Negative Information
- Personnel Record Check
- Interview of the Accused Employee
- Legal Counsel
- Written Statements
- Avoidance of Face-to-Face Encounters
- Searches
- Lineups
- Investigative Aids
- Physical Tests
Chapter 12

Personnel Evaluation Systems and Performance Rating Standards 219
Objectives of Evaluation Systems 219
A Case for Evaluation Systems 220
Causes of Evaluation System Failures 221
Indifference 221
Employee Pressures 222
Failure to Train Raters 222
Rating Abuses 223
Slipshod Procedures 223
Rating Shortcuts 223
Gathering and Recording of Performance Data 223
Recording Methods 224
Critical Incident Technique 224
Rating Traits 224
Performance Standards 231
Rating Criteria 232
Patrol and Traffic Personnel 232
Investigative Personnel 234
Staff and Auxiliary Personnel 234
Rating Standards 234
Employee Ranking 235
Representative Employee Standard 235
Ideal Employee Standard 236
Numerical Standard 236
Forced-Choice Standard 237
Rater Characteristics 237
Common Rating Errors 244
Leniency 244
Personal Bias 245
Central Tendency 246
Halo or Horns Effect 246

Contents XV
Chapter 15
Other Important Supervisory and Management Topics 325
Ensuring Officer Safety 325
Coaching Officers on Street Survival 327
Responding to Individuals with Behavioral Health Issues 328
Officer-Involved Domestic Violence 330
The Ferguson Effect 334
Conflict Resolution and Management 336
Dealing with the Media 338
Making Meetings More Productive 340
Effective Time Management 341
Managing Change 343
Summary 345 • Review Questions 346 • Exercises 346 • Endnotes 347
Foreword

It is both an honor and privilege to write the foreword for this book authored by Dr. Jeff Bernstein, a personal friend, and colleague who I have known for over 30 years. Over that time, I have served as a police chief with two police agencies and served as the presidents for both the Florida Police Chief Association and the International Association of Chiefs of Police. I have conducted numerous police promotional processes for the ranks of sergeant to police chief, and as a lawyer have been used as a subject matter expert in promotional processes on police practices. Currently, I serve as a presidentially appointed U.S. Marshal in the State of Florida.

Dr. Jeff Bernstein, the co-author of this book, and I have worked closely together in preparing police officers for promotional exams. He is without question the #1 authority on police promotional exam preparation in the country. As one of the nation’s top experts in police supervision, Nathan Iannone asked Dr. Bernstein numerous times to revise his original book and update his book to be contemporary with the times. Prentice Hall also asked Dr. Bernstein to write the first official study guide for the book.

The textbook you are about to read is a long-time best seller. It has been on more law enforcement promotional exam reading lists than any other book. It’s considered by many to be the “Bible of Police Supervision.” If you have this in your hands right now, you’re probably studying for a promotional exam or taking a police supervision college class.

This book is the authority in the field and addresses everything a police supervisor should know. Making a successful transition from officer to supervisor is reviewed in the book. Basic supervisory responsibilities such as training, coaching, and counseling are discussed in the book. Dealing with citizen complaints, problem employees, and tactical deployment of field forces in critical situations are all covered in the book. After reviewing and studying these areas, you will have a much better understanding of how to handle these types of situations as a supervisor or manager. A new feature to this edition is that the key points in the book have already been identified by Dr. Bernstein for you. They will help you to do better on the exam you have to take, as well as be a better supervisor or manager.

Every day in every police department across the country supervisors deal with employees, citizens, peers, bosses, and unique situations they encounter on the street. You will find this book to be an excellent guide in regards to dealing with these individuals and situations. The kinds of things that every supervisor or manager should know are in this book!

Finally, as you’re reading this book, always keep your ultimate goal in mind. Whether it’s to get the promotion you want or to be a better supervisor or manager, never lose sight of it. If you’re ready to become a leader, study hard and stay focused. If you’re tired of doing what you’re doing and want to move up the ladder, study hard and stay focused. If you study hard, stay focused, and internalize the teachings of this book, you will be that much closer to achieving your ultimate goal.

I wish you all the best.

William “Bill” Berger
It is with great pride that I have prepared the ninth edition of Supervision of Police Personnel. The text addresses the essential knowledge, skills, abilities and personal characteristics that every professional law enforcement supervisor and manager should have. It has been read by thousands of college students, promotional exam candidates, and police supervisors.

It was truly an honor to be asked by Nathan and Marvin Iannone to update Supervision of Police Personnel. In my law enforcement career, I have worked as a police officer, detective, sergeant, and police psychologist. Most of my time in law enforcement was as a street cop. When the Iannone’s asked me to update the “Bible of Police Supervision,” I readily accepted it as the greatest challenge of my law enforcement career. As a test preparation specialist, I have trained over 100,000 men and women to become law enforcement officers, sergeants, lieutenants, captains, and chiefs. My area of expertise is in law enforcement promotional exams and exam preparation. In updating this book, I have tried to ensure that the most important things that law enforcement supervisors and managers need to know are included in it. I have also added two new chapters to the ninth edition. Chapter 14 which is “Legal Knowledge Every Supervisor and Manager Should Have,” and Chapter 15 which is “Other Important Supervisory and Management Topics.” Prior to updating the book, I reviewed many of the current challenges and contemporary issues facing law enforcement supervisors and managers today. I have added a number of these important topics to the book. Some of these include ensuring officer safety, coaching officers on street survival, and responding to individuals with behavioral health issues. These are areas every supervisor should be keenly aware of.

It has been my experience that the very best supervisors and managers show concern for their subordinates, the department, and the public. Also, the most successful law enforcement agencies seem to have the best supervisors and managers. It’s one of the key factors that separates those agencies who succeed in their mission, from those who don’t. In day-to-day police work, officers are involved in a wide variety of situations. They make mistakes from time to time and when they do, someone needs to discipline them. They respond to critical incidents that can be overwhelming; when they do, someone needs to guide them. When officers do good work, someone needs to praise them. That someone is the police supervisor and manager!

Since most of you are reading this textbook for your promotional exam, I have prepared the following as guidance for you.

Promotional Exams: How to Get Started with Your Preparation

Preparing for promotion is an important career decision. This is particularly true today as the competition for supervisory and command positions in law enforcement agencies is fierce. The challenge for those who are serious about promotion is that they must be more prepared today than ever before. The road to promotion is one of hard work and personal commitment. The key to success will be determined by how well you prepare.
When a promotional exam is announced, just starting your preparation is one of the hardest things to do. We firmly believe the early bird does get the worm. Here are five things you can do to begin your preparation:

1. **DEVELOP A PLAN**
   Start thinking about exactly what you’re going to do. Make the commitment: When am I going to study? Where am I going to study? Who am I going to study with? And so on.
   Speak with successful supervisors and managers in the workplace. Ask them about their study techniques. Put your study plan together prior to beginning your studies.
   If 30 percent of the exam questions come from the textbook, put at least that amount of time into your studies. Same thing with the law book, as well as the policy and procedure manuals.
   Before you begin studying, make an appointment to have your eyes checked, especially if eye fatigue is occurring more frequently than normal.

2. **GATHER UP ALL THE MATERIALS**
   Keep your study materials updated—for example, law books, guidelines, textbooks, test prep guides. Once you obtain all the materials, put them away. Then, just take out one item at a time to study. This way you won’t feel overwhelmed.

3. **ESTABLISH THE PROPER MIND-SET**
   If you’re taking a test to become a boss, you have to start thinking like one. This is especially true while you’re working. When you hear calls on the radio for a supervisor, think about what you would do with respect to proper supervisorial principles. Critical incidents, complaints, performance issues—how would you handle them?

4. **BE POSITIVE!**
   How much time do we spend complaining every day at work? A lot, right? Well, when it’s exam time, avoid the whiners and complainers. Complaining is a time waster that distracts you from studying. Stay with the positive people who are focused on studying.

5. **BEGIN YOUR STUDY**
   If you sign up for a study group, it should be in addition to your individual study. Think of the total study time in small increments. If your promotional exam is 3–6 months away, 1 hour of study per day 5 days a week is fine. However, you should progressively increase your study time as the exam gets closer (less than 3 months). Study at least 2 to 3 hours per day, 5 days a week. Choose a quiet place and select a time when your energy level is highest. A good way to study this book is to engage in the practice of “overlearning” each chapter. After you read Chapter 1, immediately go back and reread it. You will pick up things you missed on the first read. After your second read, test yourself with the study guide multiple choice questions. You will find out where you are strong, and what topics you are weak in. Whichever area you are weak in, put in more study time.
   Log your study time and chart your readings on a calendar. Set goals and deadlines and follow them. Make adjustments as needed.
   Periodically reward yourself and your family for your hard work.
   Don’t take on major responsibilities or projects while you’re studying for the exam.
For more information on preparation for promotional exams, go to www.bernsteintest-prep.com. It’s up to you to get your plan into motion. If you don’t put the time and effort in, somebody else will. Best of luck in the promotional exam process.

► New to the Ninth Edition

Preface
Valuable Tips for Promotional Exam Preparation

Chapter 3
Magnifying Community Policing Through Social Media
Leadership Redefined by U.S. Navy Seals
Updates on Supervising the Multigenerational Workforce

Chapter 4
Andragogy
Roll Call Training
Online Training
Virtual Training Simulators

Chapter 13
New Bomb Threat Stand-Off Guidelines
Revised and Updated Hostage Negotiation Strategies

Chapter 14
Legal Knowledge Every Supervisor and Manager Should Have
Police Citizen Contacts, Investigative Detentions, Terry Stop and Frisk, Motor Vehicle Stops, Totality of the Circumstances, Vehicular Pursuits, Identification of Suspects, Canine Sniffs, Search Incident to Arrest, Automobile Searches, Interrogation of Suspects or Arrestees, Miranda Warnings, Exceptions to Miranda, Public Safety Exception, Juvenile Issues, Hot Pursuit, Consent, Law Enforcement Agencies’ Obligations to Persons with Disabilities, DNA, School Search Policy, Searches of Parolees, Liability, The Law Enforcement Officers Safety Act (LEOSA), Family and Medical Leave Act, Police Activity and the First Amendment

Chapter 15
Other Important Supervisory and Management Topics
Ensuring Officer Safety, Coaching Officers on Street Survival, Responding to Individuals with Behavioral Health Issues, Officer Involved Domestic Violence, The Ferguson Effect, Conflict Resolution and Management, Dealing with the Media, Making Meetings More Productive, Effective Time Management, Managing Change.

► Instructor Supplements

Instructor’s Manual with Test Bank. Includes content outlines for classroom discussion, teaching suggestions, and answers to selected end-of-chapter questions from the text. This also contains a Word document version of the test bank.
**TestGen.** This computerized test generation system gives you maximum flexibility in creating and administering tests on paper, electronically, or online. It provides state-of-the-art features for viewing and editing test bank questions, dragging a selected question into a test you are creating, and printing sleek, formatted tests in a variety of layouts. Select test items from test banks included with TestGen for quick test creation, or write your own questions from scratch. TestGen’s random generator provides the option to display different text or calculated number values each time questions are used.

**PowerPoint Presentations.** Our presentations are clear and straightforward. Photos, illustrations, charts, and tables from the book are included in the presentations when applicable. To access supplementary materials online, instructors need to request an instructor access code. Go to [www.pearsonhighered.com/irc](http://www.pearsonhighered.com/irc), where you can register for an instructor access code. Within 48 hours after registering, you will receive a confirming e-mail, including an instructor access code. Once you have received your code, go to the site and log on for full instructions on downloading the materials you wish to use.

▶▶ Alternate Versions

**eBooks.** This text is also available in multiple eBook formats. These are an exciting new choice for students looking to save money. As an alternative to purchasing the printed textbook students can purchase an electronic version of the same content. With an eTextbook, students can search the text, make notes online, print out reading assignments that incorporate lecture notes, and bookmark important passages for later review. For more information, visit your favorite online eBook reseller or visit [www.mypearsonstore.com](http://www.mypearsonstore.com).
The first person that I would like to acknowledge is Professor Nathan Iannone. The first edition as well as the next four editions were written by Professor Iannone. He was a career police officer who rose through the ranks of the Los Angeles Police Department. He was a true visionary in the law enforcement supervision and management field. He saw the need to professionalize it, and he did. Thanks also to Nathan’s brother, Marvin, who was a police chief in Beverly Hills. He wrote the sixth edition.

It’s been said that to be successful, you have to surround yourself with good people. Well, I’m very thankful that I have done just that!

My profound thanks to Edna Bernstein, Vanessa Olmedilla, Jon Bernstein, retired Carteret Police Department Captain Robert Talalai, Oak Park Deputy Chief Frank Limon, and Mike Markowicz for their assistance in updating the textbook. Their assistance with research, draft writing, new photo acquisitions, commentary, suggestions for improvement, and proof reading was invaluable and is much appreciated. I would also like to thank North Bergen Police Chief Robert Dowd for his outstanding contribution to the new legal chapter. Chief Dowd’s time, energy, and expertise helped add value to this chapter. Thanks are also due to retired Bayonne Chief of Police Ralph Scianni. Chief Scianni’s suggestions and input are much appreciated. I would also like to thank Camden County Deputy Chief Richard Verticelli for his contributions on the tactical deployment of field forces. His experience as the SWAT commander helped to enhance this chapter. Thanks to Mary Jane Pohero, Melissa Valenti, Yvette Verticelli, and Frank Ciampi for their editing assistance. Thanks also to the reviewers, both past and present. Your suggestions helped to bring this textbook to the next level of excellence. For this ninth edition, we would like to specifically thank Norman Conti (Duquesne University), Paul Corbin (Lindenwood University), and Minerva Cruz (Rosemont College) for your input.

Finally, a special thanks to our Pearson editors Gary Bauer and Rinki Kaur. Gary’s ideas and suggestions helped to improve the Bible of Police Supervision. I also like to thank alakshmi Segar from Integra, for all his support, patience, and assistance to us.

Dedication

The ninth edition of Supervision of Police Personnel is dedicated to my father, Lieutenant Bert Bernstein, and my mother, Bea Bernstein. For 30 years, my father worked for the Miami Beach Police Department. Those who worked with him considered him a “Cop’s cop.” My mother Bea also worked for the Miami Beach Police Department. Growing up in a police family is why many of us entered into law enforcement.