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Evaluation of the Caruth Police Institute at Dallas

Robert C. Davis, Radha Iyengar

The research described in this report was prepared for the Communities Foundation of Texas and conducted in the Safety and Justice Program within RAND Justice, Infrastructure, and Environment.

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Preface

This evaluation of the Caruth Police Institute (CPI) was funded by the Communities Foundation of Texas (CFT). CPI was designed for the benefit of the Dallas Police Department to create staff development courses and to bring the expertise of academic experts and business leaders to bear on complex policing problems. The current report examines the impact of the Institute over its four-year history. The report is intended primarily for CFT board members but is also appropriate for an audience of researchers and criminal justice practitioners interested in policing issues.

The RAND Safety and Justice Program

The research reported here was conducted in the RAND Safety and Justice Program, which addresses all aspects of public safety and the criminal justice system, including violence, policing, corrections, courts and criminal law, substance abuse, occupational safety, and public integrity. Program research is supported by government agencies, foundations, and the private sector.

This program is part of RAND Justice, Infrastructure, and Environment, a division of the RAND Corporation dedicated to improving policy and decisionmaking in a wide range of policy domains, including civil and criminal justice, infrastructure protection and homeland security, transportation and energy policy, and environmental and natural resource policy.

Questions or comments about this report should be sent to the project leader, Robert C. Davis (rdavis@policeforum.org). For more information about the Safety and Justice Program, see <http://www.rand.org/safety-justice> or contact the director at sj@rand.org.

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Summary

The Caruth Police Institute at Dallas (CPI) created a partnership between the Dallas Police Department (DPD) and two local universities—the University of North Texas at Dallas and the University of Texas at Dallas. The purpose of the partnership was to provide high-quality staff development courses for the DPD and to bring to bear resources from academia and the local business community to solve complex policing problems.

This evaluation was commissioned by the Communities Foundation of Texas to examine the four-year history of the Institute and make recommendations to enhance its effectiveness and sustainability. Using interviews with key informants inside and outside the DPD, formal assessments of the impact of CPI courses, and DPD records, the evaluation assesses the progress that CPI has made and the approach that it is taking to staff development and providing research to assist DPD in solving complex problems. In addition, the evaluation examines and comments on the Institute’s plans for long-term sustainability.

The evaluation finds that CPI has been an important vehicle for enhancing leadership skills of mid- and high-level DPD officers and creating a more professional police force. CPI courses not only have taught leadership and critical thinking skills but have also acted to forge bonds between course participants—bonds that participants draw on when they go back to their regular duties. Through its courses, CPI has prepared Dallas managers for continuing to move the department forward and to be better equipped to take advantage of the technological and strategic innovations that the department is implementing.

Through its guidance of the DPD strategic planning process, CPI is also contributing directly to the safety of Dallas citizens. The DPD’s strategic planning process encompasses goals that promise to have substantial payoffs for public safety, including continued enhancements in technology, improvements in the investigative process, and engagement of the community through DPD’s innovative community policing program and expanded use of social media. CPI acts as a facilitator of the strategic planning process and provides information needed to develop objectives and to implement new programs in social media and other areas.

Questions remain, however, about whether CPI will achieve the potential envisioned by its planners. Failure to hire a research director has severely limited the research and problem-solving capacity of the Institute. Moreover, the potential of CPI as a regional training center and as a vehicle for promoting the national reputation of the Dallas Police Department remains unrealized.

1. Introduction

Recent history has demonstrated the importance of strong and effective police leadership. Policing experts have come to recognize that officer conduct and integrity are heavily influenced by the tone set by senior leaders and the management skills of line supervisors (see, e.g., Skolnick and Fyfe, 1993; Walker, 2001; Davis, Mateu-Gelabert, and Miller, 2005). Effective leadership has become even more important in the fast-changing world of modern policing (Silverman, 2006). Multiple works have pointed to leadership as a way to maximize the efficiency and effectiveness in the delivery of police services (Kim and Mauborgne, 2003; Bratton and Knobler, 1998).

The explosion in technology and communication has made it essential that police managers keep current with new developments and that organizations have the flexibility to change appropriately. The past 30 years have ushered in new strategies and tactics in policing—from community policing (which gives citizens influence in setting and attaining policing goals) to hot spots policing (which focuses law enforcement resources proactively on places where crimes are frequent) to evidence-based policing (which demands that police strategies and tactics be evaluated and adapted according to their proven effectiveness).

In recognition of the need for leadership, the field of law enforcement has begun to create opportunities for senior administrators to be trained in how to be an effective leader. A set of reports by the Police Executive Research Forum (PERF) identified a total of 73 police leadership training programs (PERF, 2007). Some of the programs, such as the FBI National Academy, serve a national or regional constituency, while others have been developed to meet state or local needs. These programs appear to vary greatly in terms of the learning objectives, learning modalities, time commitments demanded of students, and cost. Moreover, even with the new recognition of the importance of leadership skills, opportunities for leadership training in law enforcement beyond the top echelons remain haphazard (Dobby, Anscombe, and Tuffin, 2004).

Background on the Caruth Police Institute (CPI)

CPI was created primarily as a vehicle to make high-quality leadership training widely available to all levels of the Dallas Police Department (DPD) administrative and managerial staff. In 2006, the DPD was the recipient of a \$15 million gift from the Communities Foundation of Texas (CFT). An initial \$5 million was given to DPD to address technology needs, including funds for digital video recorders and laptops in its patrol cars. The remaining \$10 million was to be used to bring about transformational change in the DPD and build the long-term capacity of the organization to more effectively fight crime and respond to public concerns. RAND was commissioned by CFT to recommend how the DPD might spend this gift to best effect and to assist in developing a formal proposal to CFT based on the concept developed. Following a formal needs assessment, RAND recommended that the best investment of the funds would be

to establish the W.W. Caruth, Jr. Police Institute at Dallas (CPI), a partnership that teamed the DPD with two local universities—The University of North Texas at Dallas (UNT-Dallas) and the University of Texas at Dallas (UT-Dallas). CPI was designed to make leadership and other types of training for supervisory and mid-level personnel within DPD an integral part of staff development and the promotional process. It was also intended to partner the DPD with local academics, the business community, and national experts in developing solutions to complex policing problems (e.g., patrol allocation, hot-spot policing, intelligence-led policing) and to promote Dallas as a laboratory for testing and evaluating new strategies to fight crime and respond to community needs.

The CFT gift went to the University of North Texas, but the intent of the foundation was that the funds be used for the benefit of the DPD. While the Institute has an advisory board and the CPI executive director is hired by the UNT-Dallas president, CPI's direction and agenda are set by the DPD chief. Thus, the working relationship between CPI's executive director and the DPD chief are critical to the success of the Institute.

Develop a New Generation of DPD Leaders

As stated in the proposal funded by CFT, CPI planned to provide new officers with a potential career path toward leadership within the department. The Institute would identify and develop potential leaders and provide training to maximize the leadership potential of field supervisors, middle managers, and executives in the department. Curriculum would be developed from the most current leadership practices and thinking from the fields of policing and public administration. Modules would be developed for both university credit toward a bachelor's degree in criminal justice with a specialization in policing at UNT-Dallas, toward a master's degree at UT-Dallas and UNT-Denton, or toward a doctorate degree at UT-Dallas. In addition, CPI would provide classes to fulfill in-service requirements mandated by the Texas Commission on Law Enforcement Officer Standards and Education and work with the DPD Academy to review and improve its curriculum.

An Executive-in-Residence program would provide exposure for DPD to the talents and experiences of other successful executives by bringing individuals to Dallas for three- to six-month tours to teach and conduct research at CPI. A Scholars-in-Residence program would rotate nationally prominent scholars in policing through the Institute to assist in grant development, training, and various research projects. Doctoral fellowships would be available to graduate students at UT-Dallas to work on various research and training projects.

In addition to the "in residence" programs described, CPI would promote liaisons between the private sector and the DPD by inviting guest executives from the business community to speak to CPI classes and at special events. Through its connection to UNT-Dallas, the Institute would take a role in recruitment of minority candidates to choose careers in the DPD. In addition, the Institute planned to develop one major annual conference per year, highlighting national events in police innovation and training.

Provide DPD with the Ability to Solve Complex Problems

The Institute planned to bring a variety of resources to bear on solving complex problems for the Dallas Police Department. Senior DPD staff taking courses through the Institute would be assigned class projects that analyze and propose solutions to current problems facing the department, such as patrol deployment patterns, requirements and testing for promotions, and increasing the role of the community in crime prevention. CPI faculty would meet regularly with DPD administrators to analyze current practices and make suggestions for improving effectiveness. The Institute would develop strong ties with the local business community and enlist the help of senior executives in providing seminars and providing advice on improving DPD operations. Finally, through visiting scholar-in-residence and executive-in-residents programs, the Institute would be able to provide DPD with the best national expertise on policing issues.

CPI planned to conduct evaluations of new DPD programs and policies in order to determine their effect on crime, disorder, and citizen satisfaction. It was hoped that the emphasis on evaluation would help to foster an evidence-based approach to policing based on knowledge of what works. The evaluations would also provide feedback to the department on how to improve programs while still in their early stages. Publication of these research efforts in professional periodicals and journals would help the DPD develop a national reputation as an innovator in the field of policing. CPI would develop and maintain a best practices library for use by DPD and police agencies across the nation.

The Institute would assume primary responsibility for grant writing activities within the DPD. The combined talents of the university faculty, scholars and police executives in residence, graduate student assistants, and senior police officials would place the Dallas Police Department in a strong position to obtain competitive grants from federal and state funding sources that would bring nationally important research projects in policing to DPD.

Previous Evaluation Work

RAND conducted a first-year evaluation of CPI that described the implementation process and obstacles that the Institute faced during its formative year.¹ RAND's first year evaluation of CPI noted obstacles that the Institute faced but painted a promising picture of the new enterprise. CPI had to deal with challenges emanating from the start-up of its parent academic institution (the brand new University of North Texas at Dallas) and from the city's decision to withdraw tuition reimbursement for police officers, including those enrolled in CPI courses. In spite of the challenges, the staff development component of the Institute got off to a good start offering quality leadership and managerial courses for Dallas lieutenants and sergeants. Because the courses are local and because they used an interrupted class design (six one-week sessions spaced over six months), course participants were not away from their assignments for extended periods of time as is normally the case with staff development courses for mid- and upper-level police managers. The back-and-forth between class time and

¹ Davis, R.C. (2011). *First Year Evaluation of the Caruth Police Institute at Dallas*. Santa Monica, Calif.: RAND, TR851-UNT/CFT.

work assignments encouraged participants to try out the concepts covered in class while actually performing their duties. The fact that a relatively large number of DPD mid-level managers completed the course together built ties among the participants, who developed a common vocabulary and approach to leadership—a process unique in the world of American law enforcement. This was a primary goal of the first CPI courses: to build management teams and help new leaders at supervisory and mid-level positions “think differently,” the motto for the first lieutenants’ course.

The research and problem-solving component of the Institute also made progress during its first year. The Institute had two University of Texas at Dallas doctoral students working on research projects relating to DPD issues, and the institute’s director had some success bringing in grant and consulting funds. However, the research potential was constrained by the fact that the position of research director was never filled, an issue further discussed later in this report.

Purpose of This Report

CFT commissioned RAND to conduct the current evaluation of CPI to analyze its progress from inception through the present. Completion of the evaluation report comes at a critical time. Having gotten CPI off to a firm start, David Kunkle, the police chief under whose leadership CPI began, and Dr. Robert W. Taylor, the Institute’s first executive director, both departed at the end of 2010. They have been replaced by the new leadership team of Chief David Brown and CPI Executive Director Rick Smith. The report completion in the spring of 2013 will come just ahead of a CFT board meeting in the summer to decide on release of the original \$6 million plus interest held in escrow for CPI’s future sustainment.

The evaluation assesses the progress that CPI has made and the approach that it is taking to staff development and providing research to assist DPD in solving complex problems. In addition, the evaluation examines and comments on the Institute’s plans for long-term sustainability.

On the staff development side, some of the key questions include the following:

- What is the vision of the new DPD chief and Institute executive director of how the staff development component of CPI can be used to benefit the department?
- Is the staff development component of the Institute viewed by mid-level and senior managers in the DPD as a useful vehicle for those looking to rise in the ranks?
- Have the participants in CPI courses benefitted from the instruction? Has the experience affected their career goals or their interest in continuing a career at DPD?
- Has the proportion of officers with degrees in the various ranks increased since CPI began?

Some of the key research and problem-solving questions include the following:

- Is the research component of the Institute becoming integrated into the DPD? Does the command staff use the Institute’s research capabilities to help them solve problems that they encounter in their work and to evaluate new programs?

- Are research findings, program evaluation results, and best practices being integrated into the way that the department goes about its business?
- Are research findings being publicized to the outside world through journal publications, conference presentations, or other vehicles?

The report also addresses several overarching issues: (1) Has CPI contributed to the safety of Dallas residents? This was the key concern expressed by CFT in providing funding for the Institute. (2) How has CPI affected the culture of the department? Has it helped to make the DPD a smarter, more effective police force? (3) Has CPI helped the DPD to gain greater regional and national recognition?

Overview of Methods Used and Layout of the Report

We addressed the questions above through a series of in-depth interviews with key informants in the DPD. These included interviews with the executive director of CPI and CPI staff, the police chief, the DPD chief of staff, the assistant chief in charge of training, and the deputy chief over personnel and staff development. We also conducted interviews with a cohort of ten lieutenants who participated in the first CPI lieutenants' course in the fall of 2009 to ascertain their perceptions of the course with advantage of hindsight. We attended CPI classes and several DPD strategic planning sessions. We conducted a formal "360" assessment of the CPI lieutenants' course on leadership skills. We surveyed DPD officers who completed CPI courses about whether they had used the course to obtain college credits, and we analyzed DPD data on the proportion of staff within each rank who had college degrees and on crime trends in Dallas over the past ten years. To develop ideas about how CPI might sustain itself, we spoke with directors of other influential police staff development programs about the business model used for their program. We combined this information with data from CPI's budget to create scenarios through which CPI could maintain its operations for the foreseeable future. Details on each of these sources of data are presented below. Finally, we used fiscal data provided by CPI staff and information about business models gained in interviews with heads of other police leadership programs to develop different examples of how CPI might balance revenues and expenses in order to sustain itself.

The remainder of this report is organized into five sections. Section 2 describes the staff development efforts of the Institute, including a formal evaluation of one of the Institute's leadership courses and tracking a cohort of participants from the first CPI leadership course for lieutenants. Section 3 documents CPI's research and problem-solving activities, including the research projects it has undertaken to date. Section 4 examines CPI's impact in three broad areas, including Dallas public safety, the culture of the DPD, and the DPD's regional and national reputation. Section 5 analyzes the potential of the CPI to sustain itself and offers several scenarios for augmenting revenues. The final section draws conclusions based on the evaluation findings and makes several recommendations to enhance the value of the Institute. Appendix A presents the survey questionnaire given to participants in the lieutenant's course; Appendix B plots detailed income forecasts for CPI.

2. Staff Development

The original vision of CPI, as articulated in the proposal to CFT, was that CPI would “identify the ‘best and the brightest’ among DPD personnel early in their careers.” This concept is similar to the United Kingdom’s High Potential Development Scheme, which identifies future leaders from the ranks of chief inspector and puts these officers on an accelerated promotion track.² Through providing top quality leadership training and college credit, CPI would make it possible for gifted and motivated individuals to earn academic degrees and rise quickly through the ranks of DPD.

Just two years following its inception, CPI underwent a significant change in leadership. The two individuals most responsible for the original vision—DPD Chief Kunkle and CPI Executive Director Taylor—left and were succeeded by David Brown and Rick Smith, respectively. With the change in leadership came a significant change in vision of what CPI should be. Instead of offering opportunity for leadership training and fast-tracking for the “best and brightest,” the new chief’s philosophy was that everyone should receive CPI training, starting with the youngest promotees within each rank. The new CPI director agreed that sending all staff to CPI courses had larger payoffs than the original CPI concept of allowing volunteers to identify themselves as potential leaders. Participating in CPI courses still could provide an edge in gaining a promotion by sharpening skills needed to enhance scores on the assessment center tests to qualify for promotions and by facilitating the acquisition of academic degrees.

With the new leadership team, there is a more formal relationship than had existed previously between the police chief and CPI director, with meetings scheduled every two weeks. But Chief Brown has been a strong supporter of CPI and has, in fact, mandated CPI to create new courses and has used CPI to coordinate the department’s strategic planning process and to help expand the department’s use of social media. (These will be discussed below.)

Lieutenants’ Course

The 2011 lieutenants’ course had 16 DPD and 8 outside participants, with each of the outside participants paying \$1,000. According to the CPI director, the lieutenants’ course is designed to teach a range of leadership skills, including complex decisionmaking, communicating with staff, and understanding personal strengths and weaknesses. The course consists of six modules, each one week in length. Approximately one-third of the 240 classroom hours is devoted to traditional lectures. Key themes explored during the course include leadership practices, organizational structure/impediments, organizational change,

² See <http://www.college.police.uk/en/8563.htm>, as of August 20, 2013.

performance evaluation, and human resources/diversity issues. Throughout all coursework, continued emphasis is placed on the role of leadership within organizations. For example, the first module consists of a general discussion about police leadership and what it entails. This is then followed by a block on leadership and organizational development and a block on best practices in organizational leadership. Lecturers include university professors, external police executives, and internal command staff. This blend is intended to provide students with a broad-based understanding of the issues under examination and to allow for candid discussions, emphasizing issues that currently exist within the Dallas Police Department.

Each module of the course begins with lectures by Institute staff on the first two days based on assigned readings. On the third day, a case study is introduced, customized from the Harvard Business Review. On the fourth day, a nationally recognized guest lecturer takes over the class. The final day includes a discussion between the guest lecturer and a high-ranking member of the DPD, moderated by the Institute director. In between each module, students are expected to complete a demanding reading list that includes several seminal works in the fields of business leadership and police studies.

Each week-long module is capped off by a case study that expands on issues raised in class using a problem solving approach. Case studies have gained increased popularity in law enforcement training, being most notably utilized by the Senior Management Institute for Police (SMIP) program created by the Police Executive Research Forum in conjunction with faculty from Harvard University's Kennedy School. Students at CPI are required to work both in groups and independently to provide solutions to the issues raised in the case studies. Discussions are led by senior faculty, and students are encouraged to provide feedback recommending action. At the conclusion, students submit for grading a written document outlining their proposed solution to the problem.

Part of the original vision for CPI was to have lieutenants solve actual problems from their current work environment. Although this idea was scrapped in favor of a more traditional case-study approaches, the course does attempt to relate classroom material to the job: At the start of each weekly session, the CPI instructor goes over what participants learned in the last session and how they applied it on the job.

Sergeants' Course

The sergeants' course combines the traditional DPD two-week academy course with four weeks of CPI instruction. Courses are taught by CPI staff, policing experts from UT-Dallas and UNT-Dallas, graduates of the CPI lieutenants' course, and DPD academy personnel. Outside experts have also been brought in, including the DEA special agent in charge of the Dallas field office. The first two sergeants' courses have been filled exclusively by newly-promoted sergeants; the third and fourth sergeants' sessions will be held in 2013.

The sergeants' course includes segments on

- organizational theory and introducing change in organizations
- value-based decisionmaking and critical thinking
- leadership
- liability
- stress management
- communicating with the media and the community
- Human resource management
- coaching and mentoring.

The segments include ample case studies and problem-solving exercises to apply the principles learned in the course. Time is allotted for the new sergeant students to discuss job issues with senior sergeants participating in teaching the course.

Noncommissioned Course

At the request of Chief Brown, a noncommissioned supervisor class based on the sergeants' course curriculum was held in late 2011. The one-week class, designed for civilian personnel, was marketed outside DPD and offered to non-DPD employees for \$350 to increase CPI name recognition. The course included modules on the duties and responsibilities of a supervisor; processes and techniques for sound decisionmaking; evaluating personnel performance; organizational communication; an overview of leadership theory; managing change; and coaching and mentoring. As in the courses for uniformed staff, the course for non-commissioned staff included a case study designed to reinforce the lessons learned in the class lectures and encouraged frank discussion between students about how classroom principles

A Sergeant's Note to CPI

I just wanted to thank you and the Caruth Police Institute for the extra push and support you all gave me. As you know, it was after attending the CPI Sergeant Leadership Series that I decided to go back to college and finish my degree. On 12-15-2012, I FINALLY graduated from college! I never imagined that I could/would have a college degree! Life got in my way so many times over the years that I just didn't think it was possible. Well, it was possible and I made it a reality. Again, please accept my gratitude when I say thank you to you and the CPI staff for helping me achieve what I once believed to be unachievable.

applied to their jobs at DPD. As in the sergeants' course, participants in the CPI noncommissioned course engaged in structured discussions about personal issues that arose in the course of their jobs.

Other Instructional Forums

In addition to the in-depth courses that can generate academic credits, CPI has developed other educational forums. CPI's first executive director teamed with other organizations to secure several U.S. Department of State grants with the International Association of Chiefs of Police (IACP). These grants focused on training police executives from international locations at CPI and abroad.

During the past year, CPI has brought in speakers monthly to speak to executive staff about influential books on law enforcement. Recently, at the chief's request, CPI conducted a two-day class on developing a mentoring program at DPD for lieutenants and above. Other courses are in the works: A course for officers promoted to the newly created rank of major starts next year, and a new course also is in development for chiefs. Still, there was recognition by one senior DPD administrator that CPI needs to do more to create a broader educational program. Now that nearly all lieutenants have taken the lieutenants' course, the administrator has recognized the need for another level of training that would consist of shorter, focused classes.

One of the original intents for CPI expressed in the proposal to CFT was that CPI would become involved in a revamped academy training program: "The Institute will be directly involved in the training process currently in place at the Dallas Police Department. [There is a need] to conduct an evaluation of training processes and a validation of the curriculum offered at the DPD Academy." So far, however, CPI has not become involved in academy training, and currently there are no plans to do so.

Chiefs' Forum 7/27/12

Chiefs from Dallas, Ft. Worth, Irving, and Plano; Dallas County Sheriff; Dean of the Johns Hopkins Public Safety Leadership Program; and Executive Director of the Police Executive Research Forum participated in a round-table discussion as part of the graduation ceremony for a CPI lieutenants' class. The chiefs first discussed the qualities that they thought were important to bring to the job. Many keyed in on a recent DPD shooting and the importance of forming strong community partnerships. Then they were asked to identify issues that they felt would be key to law enforcement in the future. The areas discussed included

- *the tradeoff in stop-and-frisk programs between the preventive benefits of the technique and police legitimacy in the community*
- *policing Texas' rapidly growing immigrant communities*
- *novel uses of video, including vetting of commercial burglar alarms prior to responding and capturing all police-citizen interactions*
- *working effectively with the media and learning to work with social media to get ahead of rapidly breaking news about police shootings and other controversial events*
- *how budget cuts affect crime.*

Formal Course Evaluation (CPI Lieutenants' Course, Fall 2011)

In the first-year evaluation of CPI, we attempted to conduct a formal assessment of how the lieutenants' course affected leadership abilities using the Multifactor Leadership Questionnaire (MLQ) (Avolio and Bass, 2008). The MLQ assesses 12 different leadership styles, including the *transformational* model of leadership taught by CPI that stresses connecting the participant's sense of identity to the mission and to the collective identity of the organization; being a role model that provides inspiration for subordinates; challenging subordinates to take greater ownership for their work; and understanding the strengths and weaknesses of subordinates. Self-assessments of CPI course participants were compared to a control group of lieutenants who did not take the course; each group was assessed before and after the lieutenants' course was held. We found little change in scores from the pre-test to the post-test in either group, but we noted that initial scores were close to maximum levels on many of the test subscales so that there could not have been much improvement on the self-assessments as a result of the course.

In the current evaluation, we sought again to assess leadership skills gained through participation in the lieutenants' course. Based on the course syllabus and conversations with the director of CPI, we made up a list of domains integrated into the course material. We then compared that list to topics covered by several popular leadership inventories, including the Leadership Practices Inventory, the Leadership Effectiveness Inventory, the Management Leadership Practices Inventory, the Cambria360 Leadership Inventory, and the Leadership Competency Inventory. We determined that none of the inventories was a good fit to the CPI course material, so we set out to develop our own inventory, borrowing ideas from the assessment tools that we had collected and the CPI lieutenants' course syllabus.

The resulting survey is contained in Appendix A. The inventory contained a total of 41 items, divided into eight domains. Each of the 41 items has five ordered response options ranging from "Strongly agree" to "Strongly disagree" plus an additional option of "Don't know." The eight domains include:

- *Mentoring*
Examples include "Motivates others" and "Spends time helping staff develop skills."
- *Inspirational leadership*
Examples include "Articulates vision of unit's mission" and "Leads by example."
- *Promoting a climate of integrity and professionalism*
Examples include "Creates environment of respect in unit" and "Models positive values."

- *Managing relationships with the larger organization*
Examples include “Suggests ways to improve departmental policies and procedures” and “Has good working relationships with key individuals and groups across department.”
- *Promoting external relationships*
Examples include “Maintains good relations with community leaders” and “Appreciates environment in which police work is performed.”
- *Problem-solving*
Examples include “Devises innovative approaches to unit’s work” and “Takes time to analyze problems before taking action.”
- *Managing personnel*
Examples include “Listens to different points of view” and “Open to innovation from staff.”
- *Business acumen*
Examples include “Applies small business practices to running unit” and “Shows understanding of the budget process.”

The assessment instrument was administered to 17 participants during the first week of the lieutenants’ course in the fall of 2011.³ About one month later, it was also administered to each lieutenant’s immediate superior officer (chief) and to his or her immediate subordinates (sergeants). In addition, with the help of the DPD administration, we identified all DPD lieutenants who had not participated in any of the previous CPI lieutenant courses: These 36 lieutenants were designated as a comparison group for the current course participants. We administered the assessment instrument to the comparison group of lieutenants and to their immediate superiors and subordinates at about the same time that the instrument was administered to the superiors and subordinates of the current lieutenant course participants, several weeks after the instrument was administered to the lieutenants enrolled in the course. Finally, the instrument was readministered to course participants, their superiors, and their subordinates, again two months after completion of the course.

Each administration of the assessment instrument was conducted as an Internet survey. That is, each potential participant was sent an email by RAND staff introducing the survey and requesting his or her participation. The email included a link to take the survey on line. Individuals who did not respond to the first invitation were issued a second invitation two weeks later, again by RAND staff. Those who still failed to respond were issued a third

³ We included only DPD officers in the assessment. There were several other lieutenants in the course from other agencies.

invitation, this time by the DPD administration, requesting their cooperation with the research project. Participants were promised anonymity in their responses and were told that their responses would not be shared with DPD administration and would not be used in any DPD evaluation of the lieutenants’ leadership abilities. The only exception to the administration of the instrument as a web survey was the initial assessment of lieutenants taking the course: That administration was conducted in person by RAND staff in the course setting.

Table 2.1 lays out the various groups who participated in the survey, the timing of the assessment(s) and mode of administration, and the rates of survey completion. We were pleased with the response rate across all categories. It was highest for lieutenants (94 percent for the first wave and 84 percent for the second), but above 50 percent for most of the categories of respondents.

Table 2.1. Survey Administration Procedures

	Survey Timing	Survey Mode	Eligible Pool	Response Rate	N
Class Participants					
Lieutenants	First week of class	In person	18	94%	17
	2 mos. after completion	Internet		83%	15
Superiors	4 weeks after start of class	Internet	18	67%	12
	2 mos. after completion	Internet		61%	11
Subordinates	4 weeks after start of class	Internet	89	42%	37
	2 mos. after completion	Internet		60%	53
Comparison Group					
Lieutenants	4 weeks after start of class	Internet	38	50%	19
Superiors	4 weeks after start of class	Internet	38	68%	26
Subordinates	4 weeks after start of class	Internet	128	48%	61

We conducted reliability analyses on each of the eight subscale items to determine the degree of coherence among the items, or the extent to which the items intercorrelated. The results appear in Table 2.2. Each of the eight sets of items showed a high degree of internal consistency as measured by the alpha coefficients shown in the table.⁴ They ranged from 0.88 to 0.96, all indicating a high degree of inter-item consistency. Based on these results, we proceeded to create eight subscale scores, defined as the mean of the items that comprised the subscale. Means and standard deviations for the scales are included in Table 2.3. The mean scores are all around 4, indicating generally positive responses to each of the leadership qualities (1 = most negative evaluation, 5= most positive evaluation). The most positive perceptions of leadership were for the scale assessing ability to promote a climate of integrity and professionalism; the least positive were in the domains of mentoring and business acumen.

Table 2.2. Subscale Properties

Subscale	Alpha	Mean	Std. Deviation
Mentoring	0.93	3.81	0.96
Inspirational leadership	0.95	3.86	0.99
Promoting a climate of integrity and professionalism	0.92	4.10	0.89
Managing relationships with the larger organization	0.92	3.95	0.85
Promoting external relationships	0.91	3.91	0.81
Problem solving	0.92	3.93	0.97
Managing personnel	0.96	4.05	0.94
Business acumen	0.88	3.81	0.83

Table 2.3 breaks down the mean scores on each scale from the first survey wave according to rank.⁵ The table shows that, in general, the lieutenants are somewhat more likely to rank their leadership abilities higher than are their subordinates or superiors, and superiors tended to rank the lieutenants' abilities the lowest. Differences between scores for lieutenants taking

⁴ To calculate reliability coefficients, we used responses from all ranks within both experimental and comparison groups at the first survey wave.

⁵ Collapsing over treatment conditions.

the course and control cases are minimal, except for the business acumen scale, where control lieutenants were rated more highly than lieutenants enrolled in the course. Analyses of variance performed on these data revealed significant differences in scores according to respondents' rank on two scales: inspirational leadership and business acumen. The same analyses did not indicate any significant differences according to treatment condition (although, on the business acumen scale, there was a borderline significant tendency for the abilities of lieutenants in the control condition to be perceived as stronger than those of lieutenants enrolled in the CPI course). From these results, we conclude that perceptions of leadership abilities were quite similar between experimental and control cases at the start of the CPI course.

Table 2.3. Scale Means and Standard Deviations Broken Down by Rank and Treatment

Subscale	Lieutenants	Subordinates	Superiors		Treatment	Control
Mentoring	4.18 (0.45)	3.86 (0.97)	3.75 (0.85)		3.92 (0.74)	the 89 (0.94)
Inspirational leadership	4.28 (0.50)	3.90 (1.03)	3.80 (0.78)		4.01 (0.75)	3.92 (0.99)
Promoting a climate of integrity & professionalism	4.43 (0.46)	4.12 (0.95)	4.14 (0.67)		4.28 (0.62)	4.13 (0.91)
Managing relationships with the larger organization	4.01 (0.43)	4.06 (0.88)	3.97 (0.76)		4.02 (0.59)	4.04 (0.84)
Promoting external relationships	3.95 (0.58)	4.08 (0.78)	3.83 (0.74)		3.95 (0.62)	4.03 (0.80)
Problem solving	4.17 (0.58)	4.04 (0.99)	3.86 (0.74)		4.04 (0.75)	4.02 (0.94)
Managing personnel	4.36 (0.51)	4.15 (0.93)	3.97 (0.63)		4.21 (0.68)	4.12 (0.87)
Business acumen	3.72 (0.65)	4.05 (0.77)	3.61 (0.84)		3.74 (0.79)	3.96 (0.77)

We then proceeded to tests to assess changes in leadership abilities following completion of the CPI course. We conducted analyses of variance, analyzing changes in ratings of the lieutenants who took the course, their subordinates, and their superiors that occurred pre-course to post-course. The analyses indicated that there was a significant *interaction* between the position of the respondent and changes in scores over time. Upon examination of the data, we discovered that, in general, there were small (not statistically significant) positive shifts in the scores of the lieutenants and their superiors, indicating an improvement of leadership skills from pre-course to post-course. However, the responses of subordinates showed the opposite trend: Subordinates tended to rate the abilities of their lieutenants *less favorably* after the course had been completed relative to before.

Based on this analysis, we decided to conduct individual tests of change from pre-test to post-test for each of the three groups of respondents. These results are displayed in Table 2.4. The table also displays comparisons of the post-test scores of class participants with the scores of lieutenants, their subordinates, and their superiors in the comparison group. Thus, we have two means of assessing gains in leadership abilities that resulted from the CPI course.

The table confirms what the initial analyses indicated: The ratings of both lieutenants and their superiors tended to increase from the pre-test to the post-test. Ratings improved slightly (less than 10 percent) on six of the eight scales among lieutenants who took the course and on six of the eight scales as well among their superiors. However, with the exception of the lieutenants' ratings on the business acumen scale, these gains did not approach statistical significance. Subordinates showed the opposite tendency: On all eight leadership scales, their ratings of their lieutenants' leadership capabilities *declined* from the pre-course assessment to the post-course assessment. Seven of these comparisons were statistically significant. Moreover, all but one of the declines did achieve statistical significance. A similar trend was evident for the comparisons between the post-course assessment for experimental cases and control cases: The ratings of subordinates of lieutenants who took the course were lower than the ratings of subordinates of lieutenants in the comparison group. Five of the eight comparisons attained statistical significance.

The unexpected results for the subordinates led us to conduct further analyses. We did not have completed surveys for each respondent at both waves of the survey: We thought that perhaps the second wave of respondents may have included a number of disgruntled sergeants who had not participated in the first survey wave. So we reanalyzed the data including only subordinates who had completed both survey waves. However, the results were virtually identical to the original analyses.

The results of the assessment were surprising. Lieutenants and their superiors rated the lieutenants' leadership abilities as slightly improved after the lieutenants completed the CPI

course. However, the sergeants under the lieutenants rated the lieutenants' leadership abilities as significantly worse following completion of the CPI course. We asked the CPI director if he or his staff had any thoughts about what might account for the anomalous results: We wondered

Table 2.4. Comparisons of Gains in Leadership Abilities: Pre- and Post-Course Comparisons Among Experimental Cases and Comparisons Between Post-Course Experimental Cases and Control Cases

	Experimental Pre-Course Assessment	Experimental Post-Course Assessment	Control Group Assessment	Increase: Experimental Post-Course vs. Experimental Pre-Course	Increase Experimental Post-Course vs. Control
Mentoring					
Lieutenants	4.17	4.23	4.19	+0.01	+0.01
Subordinates	3.99	3.43	3.78	-.14 [^]	-.09
Superiors	3.33	3.48	3.94	+0.05	-.13
Inspirational leadership					
Lieutenants	4.26	4.27	4.31	.00	-.01
Subordinates	4.09	3.50	3.79	-.14 [^]	-.08
Superiors	3.45	3.53	3.95	+0.02	-.11
Promoting a climate of integrity and professionalism					
Lieutenants	4.43	4.48	4.43	+0.01	+0.01
Subordinates	4.31	3.74	4.00	-.13 [^]	-.07
Superiors	3.97	3.95	4.22	-.01	-.06
Managing relationships with the larger organization					
Lieutenants	3.91	4.13	4.11	+0.06	.00
Subordinates	4.14	3.63	4.01	-.12 [^]	-.09*
Superiors	3.80	3.82	4.05	+0.01	-.06
Promoting external relationships					
Lieutenants	3.90	3.79	4.01	-.03	-.05
Subordinates	4.04	3.67	4.11	-.07 ⁺	-.11 [^]
Superiors	3.78	3.76	3.86	-.01	-.03
Problem solving					
Lieutenants	4.15	4.23	4.18	+0.02	+0.01
Subordinates	4.14	3.59	3.98	-.13*	-.10 ⁺
Superiors	3.58	3.70	3.98	+0.03	-.07
Managing personnel					
Lieutenants	4.28	4.51	4.44	+0.05	+0.02
Subordinates	4.36	3.59	4.03	-.18 [^]	-.11*
Superiors	3.67	3.84	4.11	+0.05	-.07
Business acumen					
Lieutenants	3.56	3.82	3.86	+0.07	-.01
Subordinates	3.98	3.66	4.09	-.08	-.11 [^]
Superiors	3.31	3.39	3.74	+0.02	-.09

+ p < .10

* p < .05

[^] p < .01

whether there was some sort of contextual issue involving sergeants at the DPD that might have made them upset with their superiors at DPD—such as an unpopular change in departmental policies—but neither he nor senior DPD staff were able to come up with an explanation. We identified the six sergeants whose ratings of their lieutenants declined the most pre- to post-CPI course to ask why they rated the lieutenants lower the second time. We attempted to contact each of the six through repeated email attempts; three responded. One said that he was not aware of rating the lieutenant lower at the second assessment; one said that her lieutenant began falling behind in his workload after completing the course; and the third said that his lieutenant’s management style changed after the CPI course, complaining that the lieutenant no longer “had the backs” of the people in his command. Thus, we still really have no consistent idea of why the sergeants’ ratings of their lieutenants’ leadership abilities declined following the CPI course.

The Experience of CPI Course Participants: The Lieutenant Cohort

Twenty-four lieutenants, all volunteers, signed up for the Institute’s inaugural course. Part of the original evaluation plan submitted to the CFT by RAND was to track the careers of a cohort of ten DPD officers. We decided that participants in the first CPI lieutenants’ course would be an ideal group for this purpose. The group consisted of relatively young officers, only two of whom had been lieutenants for more than three years. Seven of the ten had four-year college degrees and two had associate degrees. None had graduate degrees, although three were pursuing master’s degrees at the time that we spoke to them. Eight had had some leadership or management course prior to the CPI course they were currently enrolled in. Four planned to take the CPI course for credit. Eight of the ten sought promotions within the DPD; one sought a career in teaching and research; and the tenth was content to remain a lieutenant.

As part of the current evaluation, we attempted to contact the same ten lieutenants to find out what their thoughts were about the value of the course they had taken three years earlier and whether their educational and career goals had changed. We contacted seven of the ten.⁶ On the whole, the cohort had shown remarkable academic interest and progress since they completed the CPI course. One lieutenant who was enrolled in a master’s program in organizational management at the time of the CPI course completed the program, using CPI credits toward his degree. Two of the lieutenants were enrolled in a master’s program at the Naval Postgraduate School in San Diego (one had been enrolled prior to taking the CPI course; the other enrolled after completing the CPI course). Two lieutenants who had only associate

⁶ One had gone on to become police chief in another city; one was on administrative leave; and the other simply did not respond to repeated attempts at contact.

degrees at the time of the CPI course were now enrolled in BA programs. The two remaining lieutenants, each with BA degrees, had not started or completed work on an advanced degree since the CPI course, although one of them said that he was thinking about it. In addition, one of the cohort had become a chief in another Texas city while another had been promoted to deputy chief with the DPD.

Respondents were enthusiastic about the value of the course. One lieutenant, who had also taken the leadership course at Harvard's Senior Management Institute for Police (SMIP), considered the gold standard in police leadership training, said that he liked the CPI course better because it was more practical and less abstract than the SMIP course. Three lieutenants said that the CPI course had helped them to develop critical thinking skills. Two others emphasized the team-building aspects of the course: According to one, "Relationships that I developed in the class have carried through to my work." Another two respondents said that the course had helped them to interact more effectively with their staffs.

In spite of the generally positive experience expressed by the lieutenants, reservations were expressed by three respondents about applying principles from the course on the job. These centered around a perception that the principles of communicating openly and seeking input from junior staff in making decisions that were taught in the course were not shared by all individuals at the chief level in DPD. As one lieutenant quipped, "Why didn't the chiefs have to take the class?" This source of friction was noted in our earlier evaluation report. It suggests that, over time, the CPI courses may have a significant effect on the culture of the department, but it will take time for new ways of thinking and relating to staff to take effect.

The positive career moves made by some of the members of the cohort, especially the strong motivation to continue their education, is a very positive development for the DPD. Of course, we cannot draw conclusions from the stories of a handful of officers. Later in the report, we present data that analyze whether the proportion of DPD officers holding BA or advanced degrees has increased since the inception of CPI.

3. Research and Problem-Solving

Research Projects

The research component of CPI struggled from the Institute's inception for several reasons, the most significant being that CPI has never had a research director. The original partnership plan for CPI as described in the proposal to CFT and in the business plan submitted to CFT specifies that the position of associate director for research will be supplied by UT-Dallas. However, over the several years since CPI began, it has proven impossible to develop an agreement under which UT-Dallas would agree to honor its pledge.

The sticking point has been indirect cost (IDC). UNT-Dallas had contracted with UNT-Denton's Office of Research Services to administer all grants (and CPI is part of UNT-Dallas). The Office of Research Services at UNT-Denton required that IDC be retained by its office to defray staff costs associated with the internal administration of any grant that it managed. Moreover, UNT-Denton's Office of Research Services charged the new UNT-Dallas a fee (\$40,000 per year) to administer the primary grant with CFT. Ostensibly, this amount was to administer all grants from UNT-Dallas; however the CPI was the *only* grant for at least the first three years of operation for the newly created university. UT-Dallas administrators argued that, had UT-Dallas provided a full time person to act as CPI's research director, research grants should be administered through UT-Dallas, and that UT-Dallas ought to receive IDC revenues.

The failure to fill the research director position has hampered CPI's research capabilities in several ways. The first is the obvious difficulty of putting together an effective and coordinated research program without a credentialed senior researcher to lead the effort. In effect, CPI's executive director has been left to coordinate the work of two UT-Dallas PhD students who are supported on fellowships by the Institute, as well as research efforts of regular CPI junior staff. The failure to fill the research director position has also hampered the Institute's ability to compete for large state research grants that are available only to qualified universities with well-developed research administrative structures—which UT-Dallas has, but UNT-Dallas does not.

Finally, in late 2011, CPI presented an announcement for a "research coordinator" at a lower salary that leaves open the door for reviving the joint university agreement for a research director at a later date. As of this writing, advertisements have been posted and candidates are being screened for the position.

The role of research at CPI was further frustrated by the fact that the institute is housed within the newly established and unaccredited UNT-Dallas. UNT-Dallas has its own growing

pains characterized by limited financial support and struggling student enrollments. UNT-Dallas is primarily a teaching college and does not have an office of research services, so there is no internal support for research or grant administration. The absence of such an office as well as support from internal university staff made CPI a less-than-competitive candidate to secure external federal and/or private grants.

The lack of a credible research capacity has had significant consequences. A process was supposed to be developed with DPD that would allow DPD command staff to submit requests for research and evaluation projects to CPI through the Chief of Staff that would lead to the development of a research agenda. But that process never materialized because CPI would not have had the capacity to conduct projects. Still, the DPD Chief of Staff did note that CPI played a useful role in vetting requests from external sources for research projects involving cooperation from DPD.

With limited staff, CPI has conducted several research projects at the request of the DPD Chief and has produced research products that have had direct application to DPD operations. These include the following:

- *Evaluation of the DPD Field Training Officer conducted at the request of the Chief*
- *A review of COMPSTAT processes and procedures used at the Dallas Police Department and presented to the command staff*
- *Evaluation of auto burglary prevention program for college campuses*
- *A crime analysis of Fair Park, conducted for the Meadows Foundation, that examined Part I crimes during the state fair*
- *Assisting DPD in developing use of social media through conducting a scan of practice examining what other departments are doing in this area. CPI has also set up listening stations and given DPD advice on how to maximize followers on social media. Through these efforts, DPD has increased its number of followers from 7,000 to 12,000. In addition, DPD is now connecting with Dallas residents through a series of Next Door websites through which communities share information and events*
- *Assessing officer wait times (at varying times of day and different staffing levels) for arrestees to receive medical attention*
- *Conducting cost-benefit study of blood draws for DUI arrestees: Does the increase in convictions for mandatory blood draws justify the cost and officer time spent?*
- *Partnering with UT-Southwestern to conduct a spatial analysis of the correlation between DPD narcotics enforcement activities and drug overdose hot spots*
- *Planning evaluation of new DPD youth outreach initiative.*

CPI has cut one of the two \$25,000 UT-Dallas fellowship lines citing lack of work and the need to conserve financial resources for the future. CPI will still offer positions to UT-Dallas students on particular projects when need arises, but this further limits the capability of the Institute to conduct quality research projects.

CPI was envisioned to conduct research that would assist in improving the police academy program. According to the proposal to CFT, the Institute would “examine background characteristics, hiring criteria, academy performance, FTO performance, and several other characteristics to determine the variables that predict success and failure as an officer.” A study that addresses some of these issues is under way as a doctoral dissertation by a UT-Dallas student, but it is not being coordinated or supervised by CPI staff.

Publication of research and evaluation results in professional policing journals and conferences were expected to be a major way that CPI would promote Dallas as a center of innovation in policing. Some of the research conducted by UT-Dallas students is under review; to date, however, there have been no publications stemming from CPI research.

Jail Booking Time Study

For months, DPD officers complained of long waiting times at the booking station of Dallas County Jail. According to the policy of the sheriff's office, officers must wait until their arrestee is booked into the jail before they can return to duty. It was not uncommon for officers to wait more than two hours and/or to work overtime. CPI was requested to investigate the problem and suggest solutions.

Through a series of surveys and structured observations, CPI researchers identified causes of the lengthy delays at the jail. The primary cause of delays was found to be the arrival of chain buses – vehicles that collect anywhere from 7-45 prisoners from municipal holding cells and transport them to the county jail. After an exhaustive statistical analysis, the study recommended that the arrival of chain buses be regulated to coincide with the least busy hours at the jail.

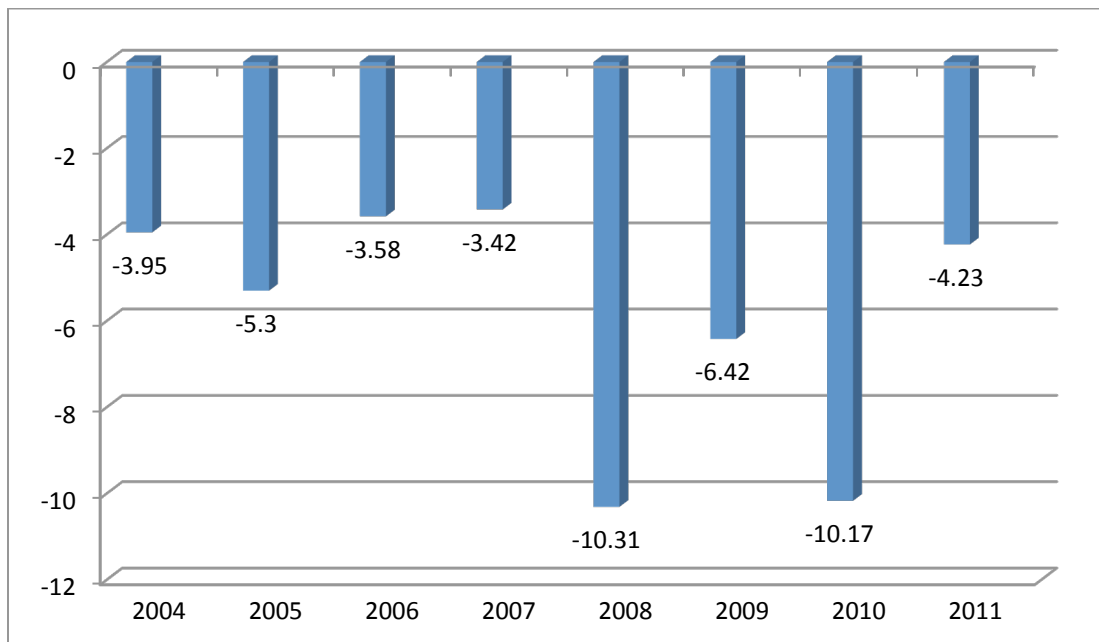
4. Some Key Questions About the IMPACT of CPI

Has CPI Enhanced the Safety of Citizens of Dallas?

A chief interest of CFT in funding CPI was to enhance the public safety of Dallas citizens. One of the ideas embedded in the proposal to CFT was to assign participants in the lieutenants' class the task of developing and testing solutions to specific crime and disorder problems that they dealt with in their job assignments. For example, a patrol lieutenant whose sector was experiencing high volumes of residential break-ins would, as a class assignment, develop a plan to reduce the number of burglaries, have the class critique it, implement the plan, and assess its effectiveness. Had CPI adopted this approach, it would have been possible to describe precisely the Institute's effect on specific crimes in targeted geographical sectors of the city. However, as discussed above, this idea was scrapped in favor of generic case studies.

However, without these "micro-experiments," developing specific estimates of the extent to which CPI has had an effect on making Dallas a safer city is impossible. It is true that, during the time that CPI has been in existence, crime in Dallas has gone down each year (see Figure 4.1). In fact, the crime decline in Dallas is the third greatest of all U.S. cities. The 148 murders posted in Dallas in 2011 is the lowest number since the 1950s. However, the downward trend in crime began well before CPI started, so it is hard to attribute it to CPI.

Figure 4.1. Dallas Crime Trends, 2004–2011



There are two ways to discuss the impact of the Institute on public safety. One is to look at the macro-picture. The DPD has become much more tech-savvy in recent years in the adoption and use of new technology, from car video recorders, to CCTV, to license plate readers. At the same time, patrol divisions in the DPD now have more autonomy and accountability. Each has its own Compstat process.⁷ Divisions can redeploy officers based on crime analysis, run their own undercover operations, and call in community engagement units when needed. This has given greater authority and accountability to lieutenants. Under Chief Kunkle and now Chief Brown, accountability has been pushed down from deputy chiefs to lieutenants, and now even to sergeants. According to Chief Brown, “Sergeants are the key because they are tactically executing plans. Getting all sergeants through the CPI course is important.” CPI Director Smith believes that the training in leadership, management, and critical thinking gained through Institute courses is key to ensuring that lieutenants and sergeants have the skills to shoulder the new responsibility that the department is placing on them.

*Investigations subcommittee plan for
DPD Strategic Planning Process:*

- *Use real incidents to develop case studies from after action reports. The case studies will then be accessible by investigators and/or become part of investigator training*
- *An incident command system will promote communication across bureaus, removing a major obstacle to investigation efforts*
- *Require cover sheets from available evidence that must be completed before case goes to DA*
- *Case files will be created electronically within the record management system. Eventually, cases will be filed electronically with DA’s Office*
- *Develop criteria for identifying “high impact” property offenders*

The other way to consider the effect of CPI on public safety in Dallas is through the DPD’s current strategic planning process. The DPD is engaged in a sophisticated strategic planning process in which CPI is playing a central coordinating role. The plan is being developed in the furtherance of public safety objectives set forth by the City of Dallas. These include (a) improving Dallas’ position among the nation’s largest cities (population of 1 million or more) from 7th place to 5th place, (b) Increasing public confidence in public safety, and (c) Increasing crime prevention efforts. The DPD planning process began with four areas of concentration that were defined by the chief in response to the city public safety objectives:

- *Organizational engagement*
Involve staff in decisionmaking, priority setting, and strategy development
- *Community engagement*
Develop and grow public and private partnerships in public safety

⁷ Compstat is a management tool developed by the New York Police Department in the 1990s to hold local commanders accountable for crime and disorder in their districts.

- *Investigative improvement*
Improve investigative processes, efficiency, training, involvement, impact, and accountability
- *Technology*
Effectively use technology to increase public safety and improve operational effectiveness.

The DPD strategic planning process uses SWOT analysis, a structured planning method to evaluate the **S**trengths, **W**eaknesses, **O**pportunities, and **T**hreats involved in a project or in a business venture. Through a series of four command staff retreats, the process has moved forward toward the goal of completing a strategic plan by early 2013. Initially, the command staff developed precise definitions of the four areas of concentration. Once each area was defined, team leaders and working groups were formed for each of the four topics. Each working groups set several (3–7) major goals and a number of minor goals under each topic. Every minor goal had a numerical target.

Once subgoals were formed, each was rated based on three criteria: criticality to the department, cost, and implementation time. The rating methods for each of the three criteria were fairly objective. For example, cost for each subgoal was estimated based on salaries, equipment, and software needed to achieve the subgoal. Working groups used the ratings to determine what priority each subgoal would receive and to make up a timetable for its achievement.

The four working groups, constituting the entire DPD command staff, have come together twice annually for two-day sessions to describe their goals, priorities, and timetables. The larger group offers comments and critiques of the individual plans.

CPI has acted as the coordinator of the strategic planning process. CPI staff has helped to develop the agendas of the semi-annual command staff sessions and to facilitate the meetings. CPI developed the process used to prioritize goals and leads a small group of planners responsible for making sure that the process stays on track between the semi-annual sessions. CPI staff coordinate with the working groups to be sure that their tasks are on schedule and consistent with the overall aims of the process.

CPI was also responsible for enlisting members of the Dallas business community to help with the planning process. CPI recruited an executive from Southwest Airlines to speak at the first session. CPI staff networked that connection to recruit an expert from Bain Consulting to make presentations at subsequent strategic planning sessions on developing appropriate metrics for the new programs and on how to improve customer satisfaction. Bain has agreed to

work with the department pro bono for six months to the conclusion of the strategic planning process. CPI will draft a written version of the final strategic plan in 2013 and will work to develop areas of coordination between the plan's four focus areas.

It seems likely that the strategic planning process will contribute significantly to making DPD a more effective and professional force and to making Dallas a safer city. CPI's central role in that process makes a strong argument that it is adding to the safety of Dallas citizens.

Has CPI Affected the Culture of the Department?

The proposal submitted to CFT suggested that the Institute would change the culture of the DPD: "One of the most important benefits to the City of Dallas is the development of a new, professional and innovative culture within the Dallas Police Department." Cultural change in a law enforcement agency is something that typically takes time to realize. CPI graduates between 50 and 100 officers per year in a department of 3,100 sworn staff. Still, in the few years that CPI has been in existence, some DPD staff have suggested that the Institute is bringing about organizational change. In a past evaluation, we reported that participants in the first lieutenants' course said that the course had forged a sense of unity among the graduates and an expectation that decisions ought to be made openly and promotions given fairly. When we interviewed Chief Brown for this evaluation, he said that he believed that CPI had changed the culture of the department "significantly." He explained that Institute graduates perform well in new assignments—especially excelling in problem-solving because of CPI training. According to the chief, "CPI has made DPD a learning organization" and has helped prepare the command staff for the DPD's current strategic planning process and for the chief's community policing initiative.

CPI Executive Director Smith believes that CPI has affected leadership skills but probably not the culture of the department. He added that the location of CPI within the department instead of on the campus of UNT-Dallas (the original plan) promotes "softer" or informal interactions with DPD staff when course alumni show up at his door to talk about problems and issues: These informal interactions help to expand the influence of the Institute.

One of DPD's senior staff pointed to the CPI course for sergeants as a vehicle for organizational change: By teaching managerial skills, the course has tackled the "monumental" challenge of changing the thinking of sergeants. However, the administrator also believed that chiefs do not have good idea of the value of CPI and that CPI's research capability is not known among the staff and is, therefore, underutilized: "CPI needs to reintroduce itself to the whole organization. There's lots of potential not being used."

One important way that CPI could influence the culture of DPD is through increasing the educational attainment of the force. Part of the original vision for CPI was that it would act to

increase the professionalism of the DPD. The proposal to CFT says, “Individuals entering the police department as recruits will be provided with a career path that emphasizes the completion of their formal education.” However, the intended emphasis on academic achievement quickly ran into trouble when the city of Dallas tuition reimbursement program ended as a result of the recession in 2008, making it more difficult for participants to earn college credit for CPI courses.⁸ Moreover, UNT-Dallas is not yet accredited and has no criminal justice major: In order to get credit, CPI course participants must enroll at UNT-Denton or UT-Dallas. However, at these institutions CPI graduates must pay full tuition to earn credits, even though the actual costs to the universities are minimal since CPI pays for instructors and classroom space.

CPI is working to remedy these problems. UNT-Dallas is working on acquiring accreditation and CPI is working with UNT-Dallas provost to get free tuition at that school for CPI course credits. The CPI director also has sought to develop a relationship with Johns Hopkins University. So far, there is a verbal agreement to get Hopkins graduate credits for DPD staff completing CPI courses, but no formal memorandum of understanding has been signed. CPI has also discussed with CFT staff the possibility of providing tuition reimbursement for DPD course participants once UNT-Dallas becomes accredited and develops a criminal justice major.

A new Executive Master of Science in Justice Administration and Leadership at UT-Dallas has recruited 18 DPD officers into the program, and provides credits toward the degree for CPI courses (6 hours for the Sergeants Supervisory Course and 9 hours for the Lieutenants Command College). Students entering the program earn their Master of Science degree in approximately one year of study in this unique, hybrid program combining Internet, professional training, and traditional course offerings.

To determine whether the academic achievement of DPD personnel had increased since CPI began, we first asked CPI staff for the number of class participants who have taken courses for college credit. We found, however, that CPI does not track that indicator. So we attempted to estimate that number for ourselves by requesting information from CPI course participants through an Internet survey. At the same time, we asked what they thought of the CPI course. Following an initial request and three reminders (the final appeal coming from DPD

⁸ In late 2011, CPI staff discussed with CFT staff a request that the foundation fund tuition reimbursement for DPD staff who wish to take CPI courses for credit. No proposal was ever made because UNT-Dallas did not yet have accreditation or a criminal justice major.

administrators), we received responses from 36 percent of the 181 DPD sergeants and lieutenants who were graduates of CPI courses.⁹

Just ten of those who responded to the survey (15 percent) said they had received university credit for the leadership training course that they had completed at CPI. Most of them had used the credits toward a master's degree and had been enrolled in the University of North Texas. We enquired from the remaining 55 respondents their reasons for not taking credits. Overall, the most common responses included that they were not interested in getting a degree, already had a degree and hence were not interested in getting credit (40 percent), or it was too expensive to get credit (35 percent).

Even though few DPD officers received credit for their CPI course, the experience still appeared to have affected their aspirations. Forty percent of respondents felt that the CPI course influenced their career goals and 37 percent said that the course motivated them to further their academic studies. Moreover, while just five respondents had been enrolled in a degree program when they took the CPI course, nine additional respondents had enrolled in a degree program subsequent to completing the CPI course.

Any increased interest in academic achievement cannot necessarily be attributed to CPI's influence. There is a new emphasis on educational attainment coming from the DPD administration. Chief Brown issued a new requirement that lieutenants need a college degree in order to be promoted to major (the same does not apply to civil service positions, e.g., sergeants being promoted to lieutenant). Moreover, the new DPD strategic plan includes a goal of partnering with local universities to create advanced degree programs for DPD officers.

We made a formal comparison of changes in the proportion of DPD officers who had academic degrees in 2009 versus 2013 (see Table 4.1). There was little change in the lower ranks of the department: The proportion of sworn staff with degrees was virtually unchanged for sergeants, corporals, and officers. Surprisingly, there was a decline in the proportion of chiefs with advanced degrees, dropping from 32 percent in 2009 to 13 percent in 2013. The proportion of lieutenants with advanced degrees dropped slightly from 14 percent in 2009 to 9 percent in 2013. Over time, the Chief's new emphasis on education may significantly increase the educational attainment of DPD officers. But we have no evidence that CPI's presence has affected that indicator over the time that it has been in existence.

⁹ The response rate for sergeant graduates was higher (55 percent) than the response rates for lieutenant graduates (26 percent), perhaps indicating greater willingness to respond to our request from recent course participants.

**Table 4.1. Proportion of DPD Officers with Academic Degrees by Rank:
2009 Versus 2013**

Rank	No Degree		Bachelor's Degree		Master's Degree		Doctorate Degree	
	2009	2013	2009	2013	2009	2013	2009	2013
Chiefs	8% (n=2)	0% (n=0)	60% (n=15)	87% (n=20)	32% (n=8)	13% (n=3)	0% (n=0)	0% (n=0)
Majors ^a	—	0% (n=0)	—	75% (n=9)	—	25% (n=3)	—	0% (n=0)
Lieutenants	20% (n=22)	28% (n=22)	66% (n=71)	62% (n=47)	14% (n=15)	9% (n=7)	0% (n=0)	1% (n=1)
Sergeants	36% (n=155)	37% (n=172)	62% (n=267)	59% (n=277)	3% (n=12)	4% (n=19)	0% (n=0)	<1% (n=1)
Corporals	48% (n=696)	49% (n=679)	51% (n=736)	51% (n=709)	1% (n=14)	1% (n=7)	<1% (n=2)	0% (n=0)
Officers	57% (n=604)	61% (n=904)	42% (n=445)	38% (n=566)	<1% (n=3)	1% (n=14)	0% (n=0)	0% (n=0)

^a The rank of major did not exist in 2009.

Has CPI Enhanced Dallas' Regional and National Reputation?

Establishing a Regional Presence

CPI's planners expected that the Institute would become a regional training center. Chief Brown said, "There is a potential niche in the western part of the country for serious leadership training. CPI courses should be opened up to others outside DPD at rank of lieutenant or above, but CPI has to be 'top notch.'" He envisioned that more openings for outsiders would become available as CPI reaches the point that most DPD sergeants and lieutenants have taken courses: "Word is getting out that [the CPI lieutenants' course] is a good class."

CPI has taken some steps to attract regional attention and to attract officers from regional agencies to its courses and other educational events, including the following educational activities conducted for outside agencies:

- Conducted leadership training session and strategic planning workshop for Irving Police Department
- Developed performance measures for Tarrant County 911 district

- Partnered with the Institute for Law Enforcement Administration (ILEA) in Plano to conduct workshop on job-related stress for Dallas and other regional police officers held at UT-Dallas.

CPI staff have discussed developing an online program that would make it possible for regional officers to take CPI courses without being located in Dallas for extended periods of time. But there are no immediate plans to implement an online program.

As a regional training center, CPI would be in competition with ILEA, which also offers training for mid- and upper-level police administrators. At the time that CPI was created, the feeling among DPD administrators was that ILEA was more focused on management and small agencies: There was a need for training that focused on leadership skills for running large law enforcement agencies. ILEA's director disputes the idea that his organization lacks sufficient focus on leadership skills in large organizations. In fact, since CPI was created, ILEA has expanded its course offerings considerably. There are significant differences in the approaches taken by the two organizations. CPI uses more nationally known academic lecturers, while ILEA relies more on police instructors. CPI also makes extensive use of texts on business leadership and case studies, while ILEA relies more on policing texts. While CPI offers just one course in leadership for different ranks, ILEA offers a range of courses that include supervision, leadership, media relations, and ethics.

In the past, DPD routinely sent sergeant- and lieutenant-level staff to ILEA for training. Since the advent of CPI, the number of DPD officers taking courses at ILEA has declined substantially and, according to one senior DPD official, none have attended in the past year. Still, ILEA recently added a course for public information officers at the request of Chief Brown.

There has been some communication between CPI and ILEA about cooperating in the development of a regional training center. ILEA has had good participation in its courses from the eastern side of the DFW Metroplex, less participation from agencies in the western half. A partnership between ILEA and CPI could provide wider regional coverage, possibly with CPI developing leadership courses and ILEA developing other courses. This would need active cooperation from the North Texas Police Chiefs' Association. At the present time, this idea is not being actively pursued.

Opinions of Former DPD Administrators Who Are Now Chiefs Elsewhere

We interviewed by phone all five Dallas officers who have gone on to become chiefs of other agencies. Four were located in Texas and one in a neighboring state. We reasoned that, since these were all individuals who knew CPI well, they would be the most likely to be inclined to send their own staffs there for training. We asked them if they had sent officers to CPI, if

they had used other staff development courses, what would have to change for them to send officers to CPI, and how they rated CPI's regional reputation.

Four of the five said laudatory things about the Institute. (The fifth did not comment one way or the other.) One said that the training was "excellent." Another said that CPI was "a great place to send staff." Yet, none of the five had sent staff to CPI for training. Their reasons for not using CPI were varied. Two thought that CPI served only DPD officers. One said that he could not afford to lose officers for extended periods of time while another said that the week-long blocks with long times in between were difficult for his agency. The fifth said that even the \$1,200 cost was prohibitive on his minimal training budget. Three of the chiefs expressed interest in sending officers to CPI under the right circumstances, e.g., shorter, more concentrated courses, not tailoring the course only to DPD officers, and course content that includes helping mid-level managers understand and use crime analysis data and techniques.

All but one of the chiefs had recently sent officers to other staff development institutes for training. These included ILEA, SMIP, and the FBI Academy. While the experience of this group of chiefs with SMIP and the FBI Academy was positive; experience with ILEA was mixed.

All of the five felt that CPI was relatively unknown. One did not even know that CPI was open to officers outside the DPD. Another said that CPI "really doesn't have a regional presence. No one speaks about the programs at meetings and other events for chiefs." One suggested that an open house for area chiefs would be a good way to get the word out to other agencies. Another suggested that CPI could publicize its programs through publications by Institute staff and advertising directed at regional agencies.

These interviews served a useful purpose. It is disappointing that none of the former DPD officers had sent staff to CPI for training since they had become chiefs. Yet the interviews also revealed that, as a group, the chiefs held high opinions of the Institute and would be open to sending officers to CPI courses given the right structuring of courses.

Creating a National Reputation

When David Kunkle was chief and Dr. Taylor was executive director, they sought to develop a partnership with the Police Executive Research Forum (PERF), a nationally recognized leader in police research and training. The aim was to induce PERF to hold its national conference in Dallas and to partner with CPI on specific issue seminars. In addition, CPI reached out to the International Association of Chiefs of Police (IACP) to partner with that agency on U.S. Department of State grants and on providing a local site for IACP to conduct regional training classes, and IACP had agreed to partner with CPI. Unfortunately, according to the current CPI Director Smith, these partnerships were not pursued.

The proposal to CFT stated that DPD would become a nationally recognized innovator in policing partly through acting as a repository and distributor of best practices in policing. CPI's performance in this respect has been disappointing. The Institute has developed three well-produced briefs on property crime investigation, organizational communication, and police athletic leagues. But, according to CPI Director Smith, no effort has been made to distribute these or CPI research reports widely. In fact, CPI does not even have a website for interested law enforcement professionals to learn about the Institute's educational programs and research activities. In part, this speaks directly to issues with CPI's association with a new teaching university. It took over a year at the beginning of the Institute before CPI was even connected to the Internet, and all technology issues must pass through UNT-Dallas, including the development of a website.

Another way in which CPI could promote itself on a national stage is through the visiting scholar-in-residence and executive-in-residence fellowships that are described in the CFT proposal. But these fellowships, which were to have brought police experts to Dallas for a period of six months to a year to work with DPD to solve complex problems, were never implemented, primarily for financial reasons. They have been scrapped in favor of bringing expert lecturers to help teach Institute classes; some of these have been individuals with good national name recognition, including the director of Major Cities Chiefs Association and the director of the U.S. Office of National Drug Control Policy (the "Drug Czar") who was the capstone lecturer for the first lieutenant's course in late 2010. These guest lecturers talk to the class on Thursdays and participate in a panel discussion on Fridays.

Similarly, the Institute plan envisioned an assistant director for external affairs whose responsibility was to be "responsible for developing key partnerships for the Institute with public and private sectors," as well as seeking sources of financial support. This position was never filled, leaving it solely to the Institute's Executive Director to conduct outreach efforts that would create partnerships, build a national reputation for CPI, and identify sources of funding.

5. Sustainability

As part of RAND’s current evaluation of the Caruth Police Institute for the Communities Foundation of Texas, we were tasked with exploring ways to make the Institute sustainable. In this section of the evaluation report, we present our findings and recommendations to the Foundation. We begin with a look at four other police leadership training programs, each using a different business model. From these four programs, we abstract lessons that may be useful to CPI. This is followed by a formal analysis of CPI sustainability. The section concludes with a set of recommendations for how to sustain CPI for the foreseeable future.

Four Models of Leadership Training

We selected four programs to look at to gain ideas on how to sustain CPI. The four programs were chosen both because they are some of the most successful examples of leadership training in the field of U.S. policing and because they represent a diversity of business models. They included the Johns Hopkins Public Safety Leadership Program, the Southern Police Institute, the Broward County Executive Leadership Program, and the Senior Management Institute in Policing (see Table 5.1). We interviewed heads of each of the programs to produce the information contained in the discussion below.

Table 5.1. Police Leadership Training Programs Examined

Program	Affiliation	Age
Johns Hopkins Public Safety Leadership Program	Johns Hopkins University	16 years
Southern Police Institute Administrative Officer Course	University of Louisville	60 years
Broward County’s Executive Leaders Program	Nova Southern University	14 years
Senior Management Institute in Policing	Police Executive Research Forum	32 years

Johns Hopkins Public Safety Leadership Program

With 21 full-time faculty and 30 adjuncts, the Johns Hopkins Public Safety Leadership Program is the largest of the programs that we examined. It has a range of programs of study leading to masters and bachelor’s degrees (see Table 5.2). The program is unique in that it uses a cohort model: In all of its academic programs, students enter as part of a 24-person class that proceeds through the program together, taking all of the same classes in the same order and graduating together. There is no room for choices in schedules or elective courses. The program is also unique among the ones that we looked at, in that the courses are a mix of liberal arts and business courses—there are no policing courses in the programs of study. Academic programs include bachelor’s and master’s programs in which classes meet eight hours per day every other Friday and Saturday; a two-year BA program incorporating junior and senior years; a regular 45-credit traditional master’s program conducted over 20 months; and an intelligence master’s program for defense contractors in which classes meet every other Saturday. Some cohorts take on real-world projects for the agencies that sponsor the students—for example, one class worked on a plan to reorganize two federal agencies.

Table 5.2. Hopkins Model

Programs of study	<ul style="list-style-type: none"> • BA & MA programs using cohort model with liberal arts, business content (no criminal justice courses) • Classes every other Friday and Saturday, 8 hours/day • Modest revenues from professional development noncredit courses • Developing on-line master’s program
Business model	<ul style="list-style-type: none"> • Program run as cost center for JHU: All tuition monies and grant funds flow directly to program • Program directly pays faculty; JHU pays OTPS • 50% “Hopkins tax” paid to university from tuition revenues plus 63% indirect cost line from grants
Participant pool	<ul style="list-style-type: none"> • First-line supervisors through agency heads from D.C. area local, state, and federal police agencies, plus emergency medical services (EMS), fire, and public health officials • Credit program is very popular and enjoys strong regional reputation; 450 graduates/year

The Hopkins program currently has 12 cohorts and graduates about 150 students with master's degrees annually. Nearly all students come from the Washington, D.C., metro area and are affiliated with local, state, and federal police agencies, as well as from EMS, fire, and public health departments. Participants are drawn from the ranks of first-line supervisors through agency heads and are endorsed by the leadership of their organization. Members of the faculty have diverse backgrounds, and are required to spend 40 hours per week on campus and to manage projects as well as teach.

In addition to academic courses of study, the Hopkins program also conducts frequent professional development courses for local law enforcement agencies. Many are complimentary, in order to develop good will among local agencies. Hopkins also has a strong record of helping professional associations to host and stage conferences: In fact, the program is home to the Major City Chiefs' Association. In addition, Hopkins hosts lectures by well-known policing experts (e.g., Herman Goldstein, Bill Bratton) that are open to local agencies free of charge. These outreach efforts have earned the program an excellent regional reputation.

The program is operated as a nonprofit cost center for the university. The program pays for faculty salaries while the university covers the costs of administrative staff and other than personnel services (OTPS) expenses. Tuition monies go directly to the program. (The tuition cost of about \$1,000 per credit hour is substantially less than for other Hopkins programs, and nearly all students get financial aid in the form of loans or scholarships.) The program pays the university 50 percent of tuition revenues and 65 percent of IDC on grants, in exchange for the university covering administrative staff and OTPS expenses. The program follows a zero-based budgeting model: At the end of the fiscal year, any surpluses that the program has accumulated go to the university.

The academic courses bring in \$3–4 million annually. The program also generates another \$2.5–3 million from grants and approximately \$25,000 from professional development courses.

Southern Policing Institute

The Southern Police Institute (SPI) was created in 1949 through the combined efforts of the University of Louisville and the Louisville Department of Public Safety. SPI found immediate success as a regional police training center and leadership training outlet. Since its creation, SPI has hosted thousands of individualized courses and provided training to representatives from 38 states.

SPI hosts an in-residence program called the Administrative Officers Course (AOC), which is conducted on a traditional college schedule at the University of Louisville campus over the course of a 15-week semester. The AOC, currently hosting its 127th session, allows participants

to earn 12 credits toward a BA or MA degree. The program also offers a Command Officers Course that meets ten days per month at a hosting agency, also for 12 credits. In addition, SPI has developed 16 other leadership and professional development short courses that consist of 40 class hours held at a hosting agency (see Table 5.3). Some examples of professional development courses offered by SPI include crime scene investigation, police management, and sex crime investigation. These courses have minimum enrollment quotas: Courses are cancelled if enrollment does not reach the specified threshold.

Table 5.3. SPI Model

Programs of study	<ul style="list-style-type: none"> • 12-credit Administrative Officer Course held over traditional 15-week college schedule • 12-credit Command Officers Course meets 10 days per month at hosting institution • Substantial income from 16 40-hour noncredit professional development courses • Some courses available on-line
Business model	<ul style="list-style-type: none"> • Program runs as a university department: Tuition revenues go to university • University covers all program expenses
Participant pool	<ul style="list-style-type: none"> • Candidates drawn from senior commanders in local and state police agencies from southern states

SPI has a full time director and three 15-percent full time equivalent (FTE) University of Louisville faculty. Adjunct lecturers are brought in to assist in teaching noncredit professional development courses. Students for the AOC are lieutenants and above, drawn from local and state law enforcement agencies mainly in the south. Tuition runs \$1,700 for 12 credit hours.

In contrast to the Hopkins program, SPI is run as a regular university department: Tuition and other revenues flow to the school and program expenses come out of the university budget. The AOC generates approximately \$1 million annually. But the program earns its greatest income from its professional development courses—between \$1.5 million and \$2 million per year. Grants are not a part of the income mix.

Senior Management Institute in Policing

The concept for the Police Executive’s Forum (PERF)’s Senior Management Institute in Policing (SMIP) grew out of a 1980 National Institute of Justice executive meeting on policing. Within a year, PERF, in partnership with the Kennedy School of Government, was awarded a Ford Foundation grant to develop and deliver a training session that would evolve into SMIP. Utilizing a case-study approach honed by Kennedy School faculty, SMIP delivered three sessions of the class within the first year, attracting many major-city chiefs of police. The first few years of operation utilized grant funding and were delivered at no cost to the participants. Once funding was exhausted, the program switched to a tuition-based program. Over the years, SMIP has provided executive training to nearly 3,000 participants.

SMIP is no longer affiliated with Harvard University; unlike the other programs discussed here, it does not offer courses for college credit, not does it compete for grants (see Table 5.4). It does offer a single noncredit executive leadership course using the case study method. The course is held for 40 hours per week over three weeks during the summer. Instructors are drawn from the faculty of Harvard and other universities. Their pay is based on student enrollment: Higher enrollment results in a greater stipend. Students are lieutenants and above drawn from state, local, and federal law enforcement agencies across the country.

SMIP is run as a nonprofit cost center for PERF. The course revenues of \$1.5 to \$2 million per year go to the program to cover costs of instructors, OTPS expenses, and a director at 20 percent FTE.

Table 5.4. SMIP Model

Programs of study	<ul style="list-style-type: none">• A single 3-week noncredit residential leadership course
Business model	<ul style="list-style-type: none">• Program run as cost center for PERF: Contract faculty from Kennedy School paid from tuition revenues• Faculty pay based on course enrollment• Facilities rented from Boston College
Participant pool	<ul style="list-style-type: none">• National pool of senior commanders from state, local, and federal law enforcement agencies

Broward Sheriff's Office/Nova Southeastern University Executive Leadership Program

The BSO/NSU Executive Leadership Program (ELP) grew out of a training initiative begun by a past Broward County sheriff. According to the program coordinator, the sheriff recognized a training need and envisioned creating a program that utilized a university partner to assist in developing and administering the program. Initially, the program partnered with Florida Atlantic University. After several years, the partnership dissolved and a new partnership was established with Nova Southeastern University (NSU). The program has been in existence for 14 years and has expanded to other public safety disciplines and municipalities.

Broward's ELP offers three courses (leadership and management, critical issues in emergency management, and strategic planning) taught as a package for nine undergraduate credits or six graduate credits that can be applied toward degrees at NSU or elsewhere. Students attend a four-hour class once per week for 17 weeks and interact with professors online to complete assignments and discussions—a hybrid program with both formal instruction and online activities. A similar hybrid program for the Supervisory Leadership Academy for sergeants, which is currently being taught as a professional development course within the Broward Sheriff's Office, is being considered with NSU. The ELP program is a stand-alone training program with NSU; as such, it does not have a menu of professional development courses, nor does it seek funding from grants.

The three courses are each taught by two instructors—one faculty member for each course from NSU, paid as adjuncts outside of their regular salaries, and one practitioner from each course from BSO (see Table 5.5). The idea is to bridge theory and practice by having both researchers and practitioners as instructors. Most of the students are lieutenants and above. Half of the students are employees of the Broward County Sheriff's Office, and the other half is drawn from local, county, and state law enforcement, corrections, and fire services.

The program is run as part of the university within the Criminal Justice Institute. All tuition goes to the university, which, in turn, supports all expenses with the exception of the liaison person from the Sheriff's Office. Broward students are reimbursed for their tuition by funds from the local sheriff's foundation. Relative to the other programs discussed here, the Broward program operates on a shoestring: Tuition revenues from the ELP course range from about \$30,000–\$50,000 per year, depending on enrollment. Operational costs of the program are low because coordination and management of the program are shared by both NSU and BSO.

Like CPI, the Broward program also has a research component. Research faculty at NSU conduct research projects with the Sheriff's Office that are coordinated through the BSO/NSU

Public Safety Partnership. Unlike CPI, however, the ELP does not have research staff that conducts projects, nor does it get involved in setting a research agenda: The program simply acts as a clearinghouse to connect NSU faculty with appropriate staff from the Sheriff’s Office.

Table 5.5. Broward County Model

Programs of study	<ul style="list-style-type: none"> • 3 classes taught as package for 9 undergraduate or 6 graduate credits over a traditional 17-week college schedule • Courses are partly classroom, partly on-line • 4 hour classes once per week
Business model	<ul style="list-style-type: none"> • Program runs much like university department: All tuition revenues go to university • University covers all operational expense • Adjunct instructors paid by NSU • Practitioners are not paid
Participant pool	<ul style="list-style-type: none"> • 50% of participants from Broward County Sheriff Office; also Broward County fire and emergency response staff; other southern Florida law enforcement agencies • Tuition reimbursed for Broward County participants

Lessons Learned from Other Programs

(1) Develop a Good Regional Reputation

Perhaps the single most frequently given response by the interviewees regarding the reason why their program has survived and been successful was reputation. Two programs in particular (SMIP and Southern Police Institute) have a national reputation that can be evidenced by scanning police chief/executive job openings, which often cite graduation from their program as a requirement for consideration. This helps to drive participation in these programs. According to the director of SPI, “We have become a credential for advancement. This helps greatly because we have people who need to graduate this program in order to be considered for promotion.” This is borne out in the fact that both SMIP and SPI report that each session will have some participants paying their own tuition out-of-pocket. One executive director summed up the importance of reputation by saying, “We work off of word of mouth. If a student comes to our program, he or she inevitably returns to their organization and begins

to talk us up. In many cases, they will tell their friends in neighboring organizations and they will start calling us.”

An important way to build a program’s reputation is through providing service to local agencies and professional associations. The Hopkins Public Safety Leadership Program enjoys strong regional support among state, local and federal public safety agencies in the Washington, D.C., metropolitan area. The program director says that he has made it a priority to provide free professional development trainings for local agencies, host conferences, and help agencies stage events. For example, Hopkins hosts several annual meetings of law enforcement professional associations including the CID Commanders Forum, an organization of law enforcement executives from throughout the Mid-Atlantic region. Hopkins is also the home of the Major City Chiefs’ Association, which comprises the nation’s largest metropolitan police agencies.

One important way to build a regional reputation is through program graduates who go on to become chiefs in their own right. Hopkins program master’s degree graduates now run many of the federal and regional public safety agencies, and send their staff to the program.

Take-away for CPI:

Time and resources spent on providing local agencies with trainings and conference planning are key to developing a regional client base that will send staff to leadership programs.

- *CPI graduates are already in chief positions in several police agencies. They are prime candidates to send their officers through CPI programs.*
- *Enhance CPI’s statute regionally and nationally by doing some of the following: (a) bring in prominent guest lecturers to act as guest faculty in leadership program and give public presentations publicized to regional departments; (b) publish and distribute an electronic newsletter on current policing topics; (c) host regional conferences on topics of interest to local agencies; and (d) develop a policing “best practices” bank and make it available on the CPI website to law enforcement agencies across the country.*

(2) Diversify Income Streams

All programs we looked at generated significant income from core leadership courses—in all programs except SMIP, these courses allowed participants to earn college credits. The two programs with the largest expenses had revenue streams from other sources. SPI offers 32 different noncredit professional development classes. Hopkins generates only a small portion of its income from noncredit professional development courses (many are provided on a pro bono basis to foster relations with client agencies), but Hopkins does bring in

large revenues from grants, including ongoing training and technical assistance projects with ICE and the TSA.

While SMIP and Broward County offer no other courses besides their leadership programs, both have a very low cost structure because no employees are fully supported by the program.

Take-away for CPI:

With limited ability to generate revenue from leadership programs given primarily for the benefit of the Dallas Police Department, CPI needs to explore additional revenue streams. Some ideas include the following:

- *Expand beyond the core leadership program into other areas, such as professional development courses or contract work.*
- *Actively seek out training needs in the area and produce courses to fill the need, possibly in partnership with the Texas Commission on Law Enforcement Officer Standards and Education, ILEA, and/or the Law Enforcement Management Institute of Texas.*
- *Apply for competitive research and training, and technical assistance grants and seek to develop relationships with governmental agencies that could lead to sole course contracts in the future.*

(3) Diversify the Pool of Students Eligible for Core Leadership Training Program

All four programs that we examined were primarily designed for law enforcement executives. But they had also greatly expanded the pool of potential students by opening courses up to other public safety personnel as well. SMIP targets senior-level civilian employees, such as communications managers and professional standards directors. In addition to sheriff's deputies, Broward County's program is open to county correction and fire officials, as well as state law enforcement. The Hopkins student body is especially diverse, including EMS, fire, public health, other public safety officials, and defense contractors. This diversity is possible because the Hopkins curriculum for both bachelors and masters leadership degree programs is based on liberal arts and business—not criminal justice—courses.

Take-away for CPI:

- *Expand core leadership training to other public safety organizations in Dallas and in the region.*

(4) Keep Costs Low

SMIP has a 20-percent FTE director and hires Harvard professors as adjuncts to teach its courses. According to its director, SMIP structures instructor pay on a per student basis. This includes instructor pay scales, classroom fees, and materials. This allows the program flexibility and ensures that each session will meet its costs regardless of attendance: If attendance is low, costs are also low. Broward County's program also operates with very little overhead. The program is overseen jointly by a Sheriff's Department employee as part of her normal duties and staff of NSU's Criminal Justice Institute. The program makes use of departmental instructors at no additional cost as well as professors from its university affiliate hired as adjuncts on a per-course basis. SPI has a full time director but just three faculty from its university affiliate, for whom SPI covers 15 percent of salaries.

Both SPI and the Broward programs use distance learning to good effect, and Hopkins is developing a distance-learning capability. This both reduces costs and expands the geographic reach of the programs to persons outside of the local area.

Take-away for CPI:

- *Number of full time staff/faculty should be kept low.*
- *DPD should be tapped to provide instructors to help teach courses.*
- *Consider a hybrid distance-learning format to lower course fees and expand the number of people that can attend the course who may otherwise be geographically barred.*

(5) Leverage Partnerships/Affiliations

At one point in their history, all of the programs had a formal partnership or affiliation with a university. The Southern Police Institute is an integral part of the University of Louisville. The program is run as a university department with all expenses paid by the university, and all tuition is paid to the university. The university reduces tuition by a third for program participants, but it benefits by virtue of the fact that a third of the program's graduates continue on to complete a master's degree at the University of Louisville. At the outset, SMIP had a loose partnership with Harvard University but no longer counts this as a working relationship. College credit was never offered through the program, in order to keep costs low. The Broward model is similar to SPI's in that course tuition goes to Nova Southern University, which, in turn, covers most program expenses. As in the case of SPI, normal tuition is reduced. Broward's program also benefits from a unique relationship with the Broward County Police Foundation, a nonprofit charitable organization that assists in providing a percentage of the tuition costs. The remainder of the tuition is covered under a county tuition reimbursement program. The Hopkins model is different: The program acts as a cost center at the university.

That is, tuition (again reduced from the normal Hopkins rate) goes directly to the program, which pays a “tax” to the university for office space, clerical support, phones, and computers. The program is responsible for paying its faculty.

Take-away for CPI:

CPI planners expected that many course participants would take courses for undergraduate or graduate credit. The city’s decision to terminate the tuition reimbursement program for city employees has discouraged DPD officers from taking CPI courses for credit. CPI also combines the worst of each model: Any tuition that results from its courses is paid to the university, but the university does not cover any expenses except for providing classroom space. Some thoughts on leveraging more from CPI’s affiliations include the following:

- *To encourage more participants to take CPI courses for credit, seek an agreement with the university to reduce tuition costs for CPI courses and seek an arrangement with CFT to reimburse DPD officers taking CPI courses for credit.*
- *Negotiate a more equitable arrangement with the university in which CPI would recoup a portion of the tuition (as in the Hopkins model) or the university would pick up some CPI expenses (as in the SPI and Broward models).*

Analysis of CPI Income and Expenses

The previous section looked at different business models of police leadership training programs that have survived over the years. In this section, we use some of the lessons learned from examining those programs to explore different options for making CPI sustainable for the foreseeable future.

At current operating levels, without any additional funding sources, CPI expenditures will require it to cover costs by spending down its endowment. This problem arises from its relatively high fixed operating costs, which render current expenditures too high to protect endowment principal. The objective of the sustainability plan is to develop a strategy for supplementing revenues and reducing expenditures so that the CPI uses only the investment income from endowment. This would require either reduced operating expenses or diversified funding sources.

We conducted a financial analysis of CPI that included the financial needs for operational sustainment as well as current and potential funding sources. From this analysis, we develop three models of cost: the base case, the low case, and the pessimistic case. In addition, we develop three models of revenue sourcing that include a combination of training, grants, and various forms of training. The models of revenue sourcing include strategies that could (1) sustain current operational growth, (2) slow operational growth, or (3) produce aggressive operational growth.

Current Revenues and Expenditures

In order to determine current sustainability absent any changes in current activities, we begin by analyzing current operating expenses. We forecast endowment income through 2017, including the infusion of capital beginning at the end of 2013. We then analyze any additional revenue sources to determine total revenues for CPI. Next, we analyze the cost structure and disbursements by CPI in 2011 and 2012. This allows us to estimate the anticipated shortfalls and the required funds for sustainable growth. These analyses form the basis of our analysis of sustainability options and also provide a baseline picture of the current financial activities of CPI.

Current Revenue Sources. To determine current sustainability, we begin by considering revenue solely from the endowment assets. One drawback of this approach is that optimal portfolio strategies are typically focused exclusively on providing an efficient tradeoff between risk and expected return.

The most commonly used measure of endowment portfolio risk is the variance (or alternatively, standard deviation) of the portfolio's return. As is well known, the returns on all mean-variance efficient portfolios are perfectly correlated. Nonprofits and foundations that rely on endowment funding typically have policies that do not allow them to engage in high-risk or speculative investment activities with their endowment funds. CPI's portfolio is thus assumed to be diversified, so as to keep volatility within acceptable limits for the portfolio as a whole.

We develop a spending policy that protects the endowment principal by determining how much of the total return will be periodically allocated for disbursements and how much will be reinvested in the endowment. Reinvesting earnings can result in a fixed principal level. Revenue additions, extra withdrawals, and/or adverse market conditions may all affect the spendable dollars available for disbursement. With good financial management, 5 to 10 percent can typically be withdrawn from the annual endowment earnings.

To estimate anticipated annual revenue streams, we take as a base estimate average return on investment for endowments, which in 2011 is 11.6 percent (net of fees).¹⁰ (A detailed analysis of potential CPI earnings is included in Appendix B.) Because this rate is substantially higher than returns in previous years, we provide two other estimates: a "low" estimate that places the average annual return at 6 percent and the "pessimistic" rate that we peg to inflation.¹¹ As illustrated in Figure 5.1, returns in 2012 and 2013 are relatively low, with income declining from \$177,837 in 2012 to only \$60,273 at the start of FY 2014.¹² The declining income is due to the declining principal under the assumption of constant current revenue streams. At the end of 2013, an additional infusion of \$6 million is expected to replenish the endowment, at

¹⁰ Based on the average for small endowments from the 2011 NACUBO-Commonfund Study of Endowments. As of August 20, 2013:

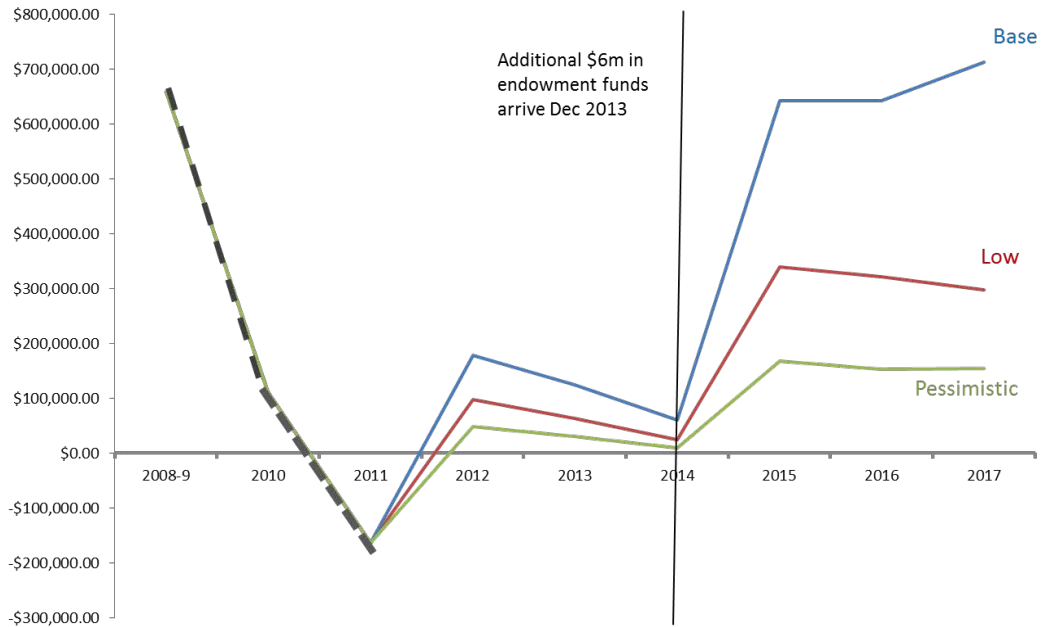
http://www.nacubo.org/Research/NACUBO-Commonfund_Study_of_Endowments/Public_NCSE_Tables.html

¹¹ Inflation estimates based on PCE index used for federal budgeting analysis (Table 2-1 of White house "Economic and Budget Analysis"). As of August 20, 2013:

http://m.whitehouse.gov/sites/default/files/omb/budget/fy2012/assets/econ_analyses.pdf

which point income increases dramatically to over \$600,000 in the base case, \$338,452 in the low case, and \$166,723 in the pessimistic case. Note that, despite this increase, disbursements are still greater than revenue in the low and pessimistic cases, resulting in declining income.

Figure 5.1. Endowment Income Projections, 2008–2017



Based on an analysis of the 2010 Annual Report, the existing funding streams do cover expenses. Table 5.6 lists all sources of revenue in 2010.

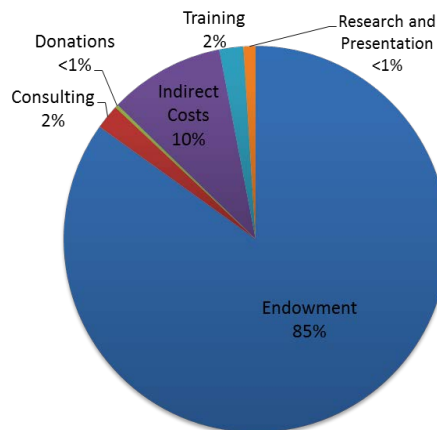
¹² Detailed tables and estimates are shown in Table B.1 and Table B.2.

Table 5.6. Revenue Sources, 2010

Description	Amount
Irving Police Department (consulting)	\$2,000.00
Reduce Auto Theft in Texas Indirect Cost Recovery	\$47,171.12
El Paso Police Department (consulting)	\$4,000.00
Institute for Law Enforcement Administration (training)	\$768.50
US Department of Justice Terrorism Lecture	\$1,200.00
El Paso Police Department (consulting)	\$3,200.00
RAND Corporation Cold Case Homicide Research Project	\$4,162.50
Tarrant County 911 District Strategic Planning	\$1,039.18
Dallas Police Executive Lodge #89 (donation)	\$1,500.00
Youth Gang Conference Presentation	\$345.00
City of Irving Training for Sergeants and Lieutenants	\$10,520.00
North Texas HIDTA (consulting)	\$1,370.00
Reduce Auto Theft in Texas Indirect Cost Recovery	\$3,931.83
Reduce Auto Theft in Texas Indirect Cost Recovery	\$3,282.16
Endowment	\$475,000.00
Total	\$559,490.29

We categorize revenues into training, consulting, donations, indirect costs collected from grants, research, and draws on the CFT endowment funds for operating expenses. A comparison of these categories, shown in Figure 5.2, makes it clear that endowment funding constitutes 85 percent of all funding.

Figure 5.2. Categories of Disbursements

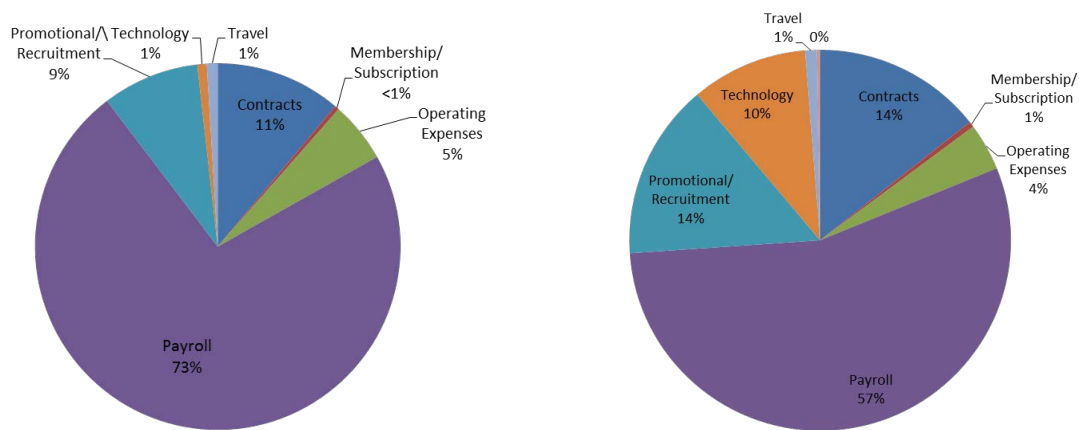


There are three primary conclusions to be gained from looking at current revenues. First, at current operating levels, without any additional funding sources, CPI expenditures will require spending down endowment regularly because current expenditures are higher than the income. Second, this problem will persist even after the endowment increase in late 2013 in all but the most optimistic case considered. Third, because current revenues are so dependent on draws on CFT funds, the revenue portfolio is not balanced and hedged against any market risk.

Current costs. Based on budget projections, the 2012 projected expenditures are anticipated to be 27 percent higher than 2011 levels: \$709,190.14 relative to the \$564,332.56 in 2011. These levels of spending are not sustainable without additional revenue streams.¹³

To better understand the set of expenses, we categorize the primary expenses, as shown in Figure 5.3. The categories we include are staff and human resources, promotional and recruiting expenses, contracts, operating expenses, technology, membership/subscription, and travel. Payroll accounts for more than half of total expenses in 2012. In addition, contracts and promotional activities account for another 20–30 percent of total expenditures. Operating expenses (which includes supplies, postage and basic services), account for approximately 4 percent of total expenditures.

Figure 5.3. Comparison of Spending Categories, 2011 and 2012



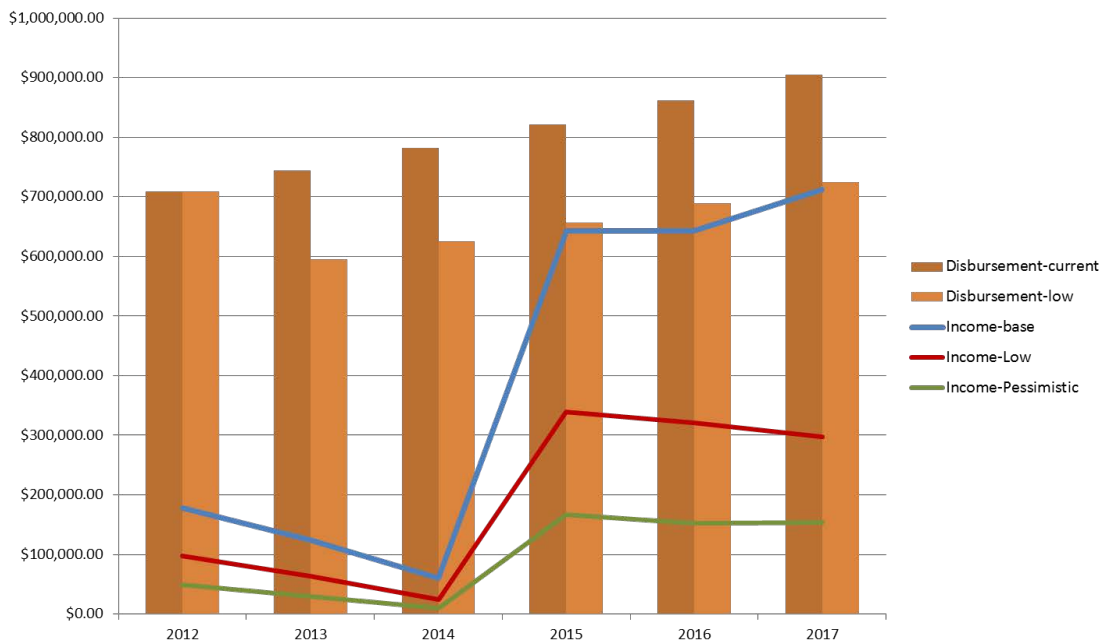
The overall conclusions on expenditures are relatively straightforward. Expenditures are too high to be sustained absent new revenue sources. Even with new revenue sources, the existing spending is high and fixed—that is, it does not change with revenue streams or enrollment, making it particularly difficult to sustain. We propose reductions to 80 percent of 2011 levels with at inflation-level growth. Under these cost reductions in the base scenario for endowment income, CPI will be sustainable after the infusion of \$6 million.

¹³ Detailed information on costs and revenues can be found in Table B.2.

Cost Reduction and Sustainability. The cost structure at CPI differs from the other leadership institutes discussed earlier in two ways. First, costs are not covered by the affiliated university (as they are for SPI and the Broward programs), which increases the total cost burden to CPI. Second, the costs for course instruction and administration are not recoverable and not a function of fee-paying students (as they are at the Hopkins and SMIP programs).

To determine the tradeoffs associated with the existing cost structure, we consider two cost growth cases to determine the degree to which operational cost reductions are required for sustainability. We find that sustainability absent rapid increase in external funding may require reduction to 80 percent of 2012 levels (about 2010 expenditure rates). Such reductions in operating costs can increase sustainability after 2014. Figure 5.4 shows disbursement projections based on 2012 costs (in dark orange) and projections based on the 80 percent reduction in 2013, shown in lighter orange. Under the base economic scenario without additional funding, expenditures will be covered by income from endowment in 2015 to 2016, at which point small shortfalls may arise. Under low and pessimistic growth projections, shortfalls are around \$300,000.

Figure 5.4. Revenues compared to Expenditures, 2012–2017



Thus, a basic sustainability plan could be developed simply through cost reductions. We believe such a plan is risky because it relies on relatively high returns for endowment investments (above 11 percent), which may not be achieved in the current economic climate. We next consider potential income sources that may be used to supplement endowment income to generate a more diversified portfolio of revenue sources.

Potential Revenue Sources

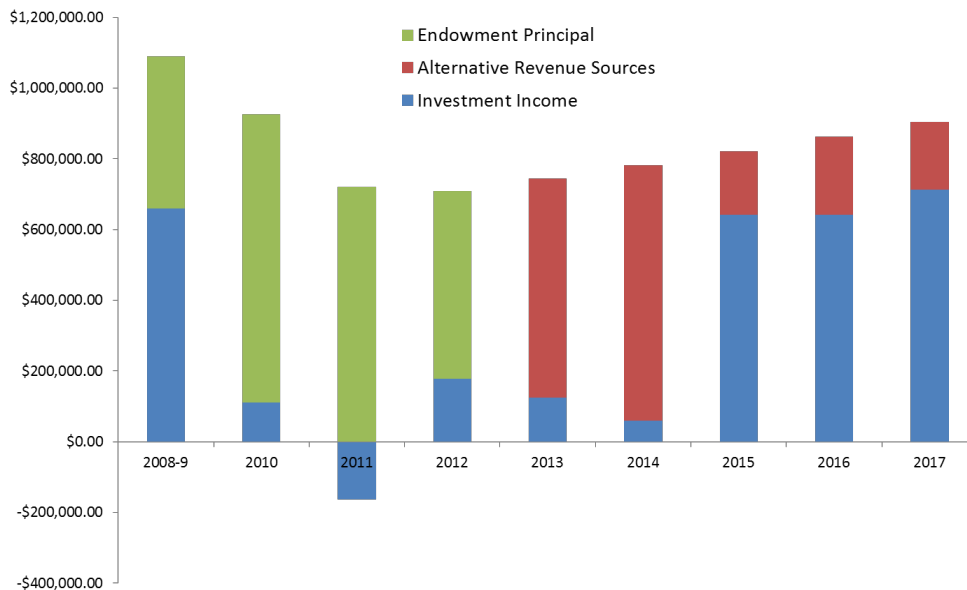
The primary objective of our analysis is to develop a plan that uses only investment income from the endowment and leaves the principal intact. While cost reductions will to some extent facilitate this objective, we believe that it is critical that CPI diversify its funding sources.

Based on our analysis of revenue streams at the other institutes examined, we consider the following potential sources of revenue: reimbursement of police training, university funding from either UT-Dallas or UNT-Dallas, tuition from students outside of the Dallas Police Department, and research grants.

Estimating Revenue Requirements. To determine revenue needs, we estimate the alternative revenue required without any additional cost reductions. Current expenses are around \$700,000–\$800,000 per year, which we propose lowering to \$520,000–\$700,000 per year. Investment income at base levels anticipated is around \$300,000–\$600,000 per year under the base scenario.

Figure 5.5 illustrates the estimated endowment income and principal use to meet expenditures needs in 2008–2012. The endowment income is shown in blue and the principal is shown in green. The additional revenue required to avoid using the endowment principal is shown in red. Note that the red portions of the bars in 2015–2017 are substantially smaller than those in 2013 and 2014 because of the increase in funds. Additionally note that the red bars from 2015 to 2017 would be completely eliminated if proposed cost reductions were implemented.

Figure 5.5. Estimated Funding Needs

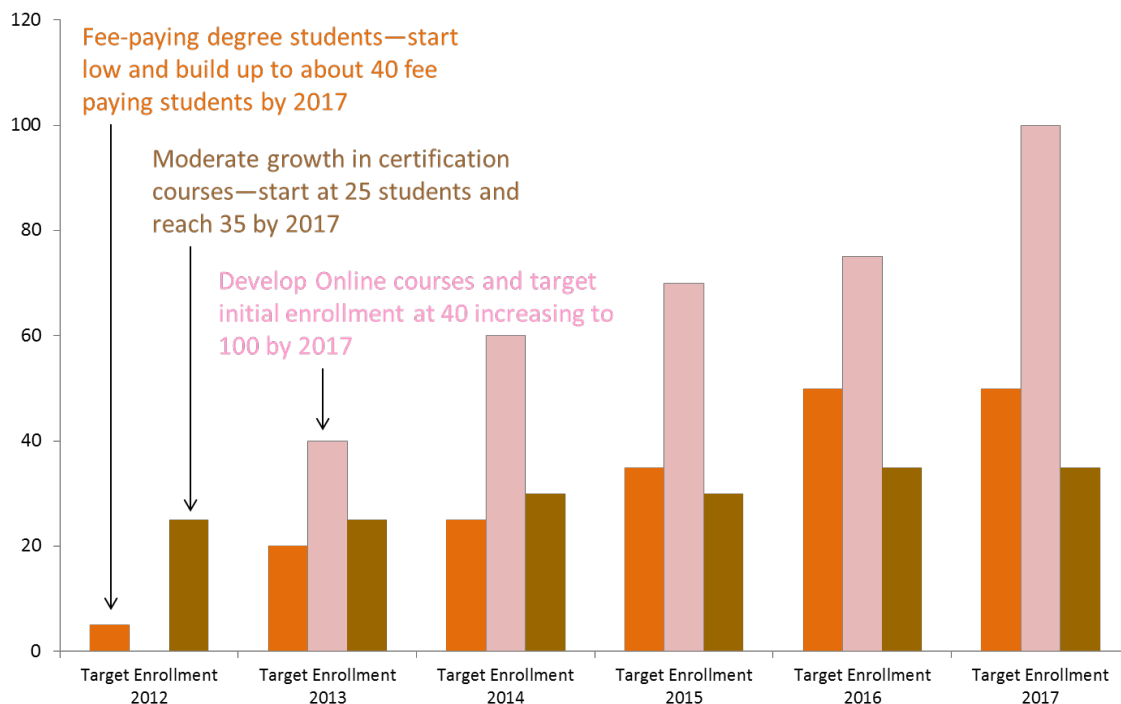


Revenue from Tuition. A major issue with tuition revenues is that CPI is not permitted to charge Dallas Police Department (DPD) employees for course enrollment. One straightforward means of increasing revenues is therefore to seek reimbursement for DPD enrollees. Reimbursement can be sought from local foundations and could cover the cost of administering and teaching the courses.

A second option is to diversify the student body and expand courses. The other institutes that we examined included officers from a range of police departments as well as other public safety agencies. In addition, other institutes similar to CPI have expanded courses to other emergency response agencies, prosecutor’s office employees, and other civilian employees of state and local government employees.

In addition to expanding the student body of the existing courses, CPI can increase other nondegree courses, such as professional development and training courses. A potential additional source of revenue could be to develop distance-learning courses. We estimate a degree course fee of \$1,200 per student for degree courses, \$1,000 per student for Internet courses, and \$500 per student for certification and training courses. Based on these cost estimates, we develop the target enrollment levels, shown in Figure 5.6.

Figure 5.6. Targeted Student Enrollment in Degree and Nondegree Courses



Revenue from Research Grants. An additional source of revenue could involve developing a research program at CPI. We propose that CPI begin with applications for relatively small grants. After establishing a relationship with the funder and proof of capabilities, CPI should have the goal of developing funding streams and regular funders. In order to do this, we propose hiring a research director. The research director should be net-cost of zero, which means that his or her base salary should be covered entirely by the funding he or she is able to secure.

We propose an initial target of \$20,000 in their first two years, with the target of reaching \$250,000 and revenue neutrality by 2017. We estimate an $X + Y$ percent*(Grant) model for salary of the research director, with an initial salary of \$40,000. Ideally, this research director salary will be covered by one of the University partners, limiting the direct costs to CPI.

Options for Sustainability Planning

Based on the cost and revenue analyses, we develop three options for sustainable growth of CPI. These scenarios combine cost reductions and different options for revenue diversification, as shown in Table 5.7. Under all three scenarios, the Institute is sustainable in 2015, assuming the base scenario for endowment income. The first option, which we call *current operation sustainability*, requires no cost cutting but investment in course diversification, research grants, and continued consulting to increase revenues substantially. The second option, which we call *slow operational growth*, requires cost reductions and limited growth in training and consulting. The third option, which we call *aggressive growth*, requires cost reductions and the full spectrum of revenue diversification.

Table 5.7. Options for Sustainability

	Option #1 Current Operation Sustainability	Option #2 Slow Operational Growth	Option #3 Aggressive Growth
Human Resources	No changes Hire Development Director or Research Director after 2017	Reduce total payroll costs	Hire Development Director or Research Director in 2015
Training	Increase number of courses Diversify population trained Initiate online training	Diversify population trained Diversify population trained	Increase number of courses Diversify population trained Initiate online training
Expenses	Maintain at projected 2012 levels	Reduce to 80% of 2012 levels	Reduce to 80% of 2012 levels
Revenues	Training Grants Online Training Consulting	Training Consulting	Training Grants Online Training Consulting
Sustainable under Base scenario	2015	2015	2015
Sustainable under Low scenario	No	No	2015
Sustainable under Pessimistic scenario	No	No	No

Under these conditions and the base scenario for endowment income, as shown in Table 5.8, all three options result in sustainability if endowment growth is at base levels. Under the pessimistic and low scenarios, neither the current operation sustainability nor the slow operational growth options result in sustainable levels of operational activity by 2017.¹⁴ Under the low scenario, but not the pessimistic scenario, the aggressive growth option results in sustainability by 2015.

¹⁴ Detailed amounts for low and pessimistic scenarios are shown in Table B.4.

Table 5.8. Revenue Estimates For Different Sustainability Plans

Items	2012	2013	2014	2015	2016	2017
Endowment Income	\$177,837.55	\$124,723.89	\$60,273.78	\$642,705.07	\$642,376.40	\$712,061.19
Degree Courses	\$6,000.00	\$24,000.00	\$37,500.00	\$52,500.00	\$75,000.00	\$75,000.00
Internet Courses	\$0.00	\$40,000.00	\$60,000.00	\$70,000.00	\$75,000.00	\$100,000.00
Certification & Training Courses	\$12,500.00	\$12,500.00	\$15,000.00	\$15,000.00	\$17,500.00	\$17,500.00
Grants	\$20,000.00	\$50,000.00	\$100,000.00	\$125,000.00	\$200,000.00	\$250,000.00
Consulting/Training	\$10,000.00	\$12,000.00	\$14,000.00	\$16,000.00	\$16,000.00	\$18,000.00
Projected Revenue	\$226,337.55	\$263,223.89	\$286,773.78	\$921,205.07	\$1,025,876.40	\$1,172,561.19
Total Revenue Needs--Current	\$709,190.14	\$744,649.65	\$781,882.13	\$820,976.24	\$862,025.05	\$905,126.30
Shortfall--Current	-\$482,852.59	-\$481,425.75	-\$495,108.35	\$100,228.84	\$163,851.35	\$267,434.89
Total Revenue Needs--Low Costs	\$521,254.75	\$547,317.49	\$574,683.37	\$603,417.53	\$633,588.41	\$724,101.04
Shortfall--Low Costs	-\$294,917.20	-\$284,093.60	-\$287,909.59	\$317,787.54	\$392,287.99	\$448,460.15
Projected Moderate Revenue	\$206,337.55	\$173,223.89	\$126,773.78	\$726,205.07	\$750,876.40	\$822,561.19
Shortfall--Moderate	-\$314,917.20	-\$374,093.60	-\$447,909.59	\$122,787.54	\$117,287.99	\$98,460.15

Course Type	Suggested Price 2012	Suggested Price 2013	Suggested Price 2014	Suggested Price 2015	Suggested Price 2016	Suggested Price 2017
Degree Course	\$1,200.00	\$1,200.00	\$1,500.00	\$1,500.00	\$1,500.00	\$1,500.00
Internet Course	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00
Certification/Training Course	\$500.00	\$500.00	\$500.00	\$500.00	\$500.00	\$500.00

Student Type	Target Enrollment 2012	Target Enrollment 2013	Target Enrollment 2014	Target Enrollment 2015	Target Enrollment 2016	Target Enrollment 2017
Degree Student Targets	5	20	25	35	50	50
Internet Student Targets	0	40	60	70	75	100
Certification Courses	25	25	30	30	35	35

6. Conclusion

CPI has been a significant addition to the DPD. It is providing high-quality management and leadership training for mid- and high-level officers. Its courses draw from popular texts on leadership and critical thinking within both the policing and business realms and use teaching methods recognized to be best practices. Course participants have a chance to interact with instructors who are national leaders in law enforcement. Significantly, the courses not only teach leadership and critical thinking skills, they also have acted to forge bonds between course participants that participants draw on when they go back to their regular duties. Through these courses, CPI has prepared Dallas managers for continuing to move the department forward and to be better equipped to take advantage of the technological and strategic innovations that the department is implementing.

The vision for CPI has changed as the DPD has undergone a change in leadership. The former chief's vision of the Institute was one of identifying the best and brightest officers early in their careers and allowing those with ambition to volunteer for CPI courses to sharpen their skills and accelerate career advancement. Under the current chief, the range of courses is limited (basically, one course for each rank), and all officers are mandated to participate in the course for their rank. Also, because the city eliminated its tuition reimbursement policy, relatively few officers use the CPI courses to further pursuit of an academic degree. Nonetheless, the current use that is made of the Institute provides significant benefit to the DPD. Moreover, CPI acts to support the chief's new emphasis on academic achievement for senior DPD managers, giving officers a push toward completing an undergraduate or advanced degree.

Through its guidance of the DPD strategic planning process, CPI is also contributing directly to the safety of Dallas citizens. The DPD's strategic planning process encompasses goals that could have substantial payoffs for public safety, including continued enhancements in technology, improvements in the investigative process, and engagement of the community through its innovative community policing program¹⁵ and expanded use of social media. CPI acts as a facilitator of the strategic planning process and provides information needed to make develop objectives and to implement new programs in social media and other areas.

Still, major questions remain about whether CPI will achieve the potential envisioned by its planners. The concept of CPI as a regional training center and as a vehicle for promoting the

¹⁵ The DPD's 10-70-20 program focuses on reducing crime in patrol sectors through a program of community engagement that is based on door-to-door polling of residents about their crime and disorder concerns, taking immediate action to address those concerns, and providing evidence in a series of community meetings that their concerns have been and are being addressed.

national reputation of the DPD remains largely unrealized. CPI could take steps to enhance its regional status and develop a national reputation. It could follow the Hopkins Public Safety Leadership program example and host conferences of local interest and bring in guest speakers on topics of interest to regional police agencies. CPI has done some of this, including a recent program on policing mass events featuring the UK Olympic Security Coordinator.

There are ways to further enhance CPI's regional reputation. Developing a partnership with ILEA to sponsor more of these events and to provide a regional leadership training program would work to create a regional presence and reputation for CPI as well as to generate needed revenue. Another way that CPI could promote itself would be to open its chiefs' forums held for graduating classes to executive staff of regional law enforcement agencies. These forums, where topical concerns of chiefs are discussed and debated, could also be filmed and edited and distributed or used in future courses. Another idea that has been put forward to promote CPI as a regional resource is to create a consortium of local law enforcement agencies that each contribute annual funds to CPI to conduct research of regional interest, possibly focusing on border issues.

It is probably fair to say that CPI has not made a mark on the national policing scene in spite of the fact that Dallas is unique in offering high-quality staff development courses to large numbers of officers.¹⁶ Here also there are many steps the Institute could take to develop its potential. Some of the ideas mentioned in the proposal to CFT—developing a policing best practices library or a newsletter—would help the Institute generate a significant following. So would publishing articles in forums for police leaders or professional journal. But most basic are developing a website and creating a presence for CPI in social media. These endeavors are neither expensive nor difficult, but they are essential to getting the word out about the Institute.

Another way in which CPI has underachieved is in the area of research and problem-solving. The shift in the new DPD administration to train *all* new supervisory and mid-level personnel placed a substantial burden on the staff of CPI, diminishing the time available to focus on grants, consulting and conference planning. CPI became wholly focused on internal training needs, with little time for exploring the types of activities that would build national awareness and self-sustainability.

¹⁶ The aim of CPI was to provide comprehensive leadership training to large numbers of senior and mid-level managers, line staff supervisors, and civilian employees, an idea that has not been done before in U.S. policing. There are departments that do stress leadership courses for senior managers, and, in some departments, some mid-level managers may also have exposure to such courses—but not in the universal manner that DPD is doing through CPI.

The failure to fill the position of research director has meant that the research component of the Institute has been adrift. Plans for CPI and DPD administrators to develop a research agenda have never materialized because CPI lacks the capability to carry out a comprehensive research program. The Institute has been made good use of by the chief to conduct some needed research to inform DPD operations and to gather data to inform new programs, especially in the area of social media. But there has been no high-quality sophisticated research, no effort to publicize research products, and no effort to compete for research grants. CPI's intent to hire a "research coordinator" will help to fill the gap, but the salary level is not high enough to attract a high-quality experienced and credentialed researcher. The UT-Dallas connection is needed, not just to create a research director line, but also to lend its reputation and credentials to grant applications—a reputation and credentials that the fledgling UNT-Dallas will not have for years. UT-Dallas also could provide experienced criminal justice faculty to head individual research projects at CPI and credits for student research assistants.

To increase its potential contribution as a regional and national resource would take money, and revenue has been a major issue for the Institute. Assuming that CFT releases the balance of its gift, CPI could invest the funds and use investment earnings to fund its operations pretty much at current levels. But current levels do not include research staff or filling the position of associate director for external affairs, which has been vacant since the Institute's inception. Without an investment in personnel, it is hard to see how CPI could develop a best practices library, make its name known nationally, or create professional development courses and the distance-learning capability needed to reach officers outside the Dallas metroplex.

CPI is at a serious disadvantage relative to the other staff development institutes discussed in the sustainability section of this report because it is constrained from charging DPD officers for taking its courses. The few who take the courses for university credit do have to pay, but they pay tuition directly to a university—CPI does not get a portion of that revenue even though it supports the cost of instructors, classroom space, and class materials. CPI and DPD both need more of its DPD participants to take courses for credit, and CPI needs to work out an equitable arrangement with its university partners to share tuition revenues (or to have the universities cover CPI's expenses in providing instruction). CFT might want to consider a proposal from DPD to provide funds for tuition reimbursement to officers taking CPI courses for academic credit.

At the present time, however, attracting external officers to its courses is CPI's only source of significant revenue. Attracting more non-DPD students would require significant investments to enhance the Institute's reputation and to develop a broader range of courses and the means to deliver those courses to officers who are not local to Dallas. CPI is at a choice point: It can continue to keep costs very low and, using endowment earnings, sustain its current efforts to

train DPD officers exclusively and conduct small research projects at the chief's request. Or it can make an investment in personnel in an effort to broaden its reputation and reach beyond DPD and enhance its revenue base.

Appendix A: Leadership Inventory

Leadership Skills Questionnaire

Your participation in this survey of leadership in the Dallas Police Department is completely voluntary and will not affect your standing with the department. The information you provide will be held confidential by the RAND Corporation; it will not be divulged to anyone in the Dallas Police Department. Your responses will be merged with those of others in the department, and only aggregate statistics will be reported in documents produced by RAND. This is the first of two survey waves. We will be asking your participation in a similar survey in six months to determine if perceptions of leadership skills of lieutenants in the department have changed over that time. We will retain identifying information until the second survey wave is completed so that we can compare how your responses have changed from one survey wave to the next. Once both waves are complete, we will destroy all identifiers in the dataset.

	Strongly agree	Agree	Neither	Disagree	Strongly disagree	N/A or D/K
Mentoring						
Motivates others						
Provides constructive feedback to staff						
Spends time helping staff to develop skills						
Provides and encourages learning opportunities for staff						
Recognizes staff accomplishments						
Teaches by example						
Inspirational Leadership						
Articulates vision of unit's mission						
Communicates goals and objectives to achieve vision						
Inspires others toward common purpose						
Leads by example						
Promotes cohesiveness and team spirit						

Promoting Climate of Integrity/Professionalism						
Promotes climate of integrity						
Promotes accountability						
Teaches staff to avoid liability in policing situations						
Creates environment of respect in unit						
Models positive values (honesty, truthfulness, etc.)						
Managing Relationship with Larger Organization						
Demonstrates good understanding of how DPD works as an organization						
Suggests ways to improve DPD policies, procedures						
Develops objectives and sets priorities consistent with organization, departments and agency goals						
Promotes loyalty to organization						
Willing to stand up for unit						
Strikes balance between organizational needs and staff needs						
Has good working relationships with key individuals and groups across the DPD						
Promoting External Relations						
Appreciates environment in which police work is performed (community expectations, media, local politics)						
Maintains good relations with community leaders						

Maintains good relations with business community						
Problem Solving						
Takes time to analyze problems before taking action						
Able to make rapid intuitive decisions when the situation calls for it						
Develops creative solutions to problems						
Devises innovative approaches to unit's work						
Managing Personnel						
Allows others to have input into decisions						
Open to innovation from staff						
Seeks feedback from staff						
Sensitive to differences in staff/diversity						
Listens to different points of view						
Develops consensus among competing views						
Resolves conflicts between subordinates in a constructive manner						
Business Acumen						
Shows understanding of the budget process						
Applies small business practices to running unit						
Identifies and cultivates unit's customers						
Applies best practices and evidence based practices to police work						

Appendix B: Potential Courses of CPI Revenue

Table B.1 plots estimates of the endowment income forecasted until 2013. To derive these estimates, we use a base rate of 11.9 percent, a low rate of 6 percent, which is slightly above the estimated risk-free interest rate (90-day U.S. Treasury), and a pessimistic rate at inflation as estimated by the Office of Management and Budget in 2012. Detailed derivation of the income for each of the cases from 2008 to 2013 is shown in Table B.1. Numbers in red constitute either estimates from the model based on economic conditions, forecast models, or projections of disbursements.

Table B.1. Estimated Endowment Income, 2008–2013

Items	2008-9	2010	2011	2012	2013
Initial Endowment	\$3,500,000.00	\$3,068,621.00	\$2,336,917.90	\$1,665,206.17	\$1,167,869.19
Income-base	\$658,621.00	\$110,295.09	-\$163,866.03	\$177,837.55	\$124,723.89
Disbursement-current	\$1,090,000.00	\$925,000.00	\$556,346.85	\$709,190.14	\$744,649.65
Total	\$3,068,621.00	\$2,253,916.09	\$1,616,705.02	\$1,133,853.58	\$547,943.44
Initial Endowment	\$3,500,000.00	\$3,068,621.00	\$2,336,917.90	\$1,665,206.17	\$1,084,608.88
Income-Low	\$658,621.00	\$110,295.09	-\$163,866.03	\$97,002.30	\$63,181.10
Disbursement-current	\$1,090,000.00	\$925,000.00	\$556,346.85	\$709,190.14	\$744,649.65
Total	\$3,068,621.00	\$2,253,916.09	\$1,616,705.02	\$1,053,018.33	\$403,140.33
Initial Endowment	\$3,500,000.00	\$3,068,621.00	\$2,336,917.90	\$1,665,206.17	\$1,034,652.70
Income-Pessimistic	\$658,621.00	\$110,295.09	-\$163,866.03	\$48,501.15	\$30,135.52
Disbursement-current	\$1,090,000.00	\$925,000.00	\$556,346.85	\$709,190.14	\$744,649.65
Total	\$3,068,621.00	\$2,253,916.09	\$1,616,705.02	\$1,004,517.18	\$320,138.57

Using the same procedures, we construct a forecast through 2017 to determine likely endowment income available. In Table B.2, the large increase in initial endowment seen in the first column (FY 2014) arises because of the anticipated infusion of \$6 million. This infusion dramatically increases the revenue available for operating expenses.

Table B.2. Forecasts of Endowment Income, 2014–2017

Items	2014	2015	2016	2017
Initial Endowment	\$6,564,381.74	\$6,018,056.59	\$6,692,932.17	\$6,835,901.71
Income-base	\$60,273.78	\$642,705.07	\$642,376.40	\$712,061.19
Disbursement-current	\$781,882.13	\$820,976.24	\$862,025.05	\$905,126.30
Total	\$5,842,773.39	\$5,839,785.43	\$6,473,283.52	\$6,642,836.59
Initial Endowment	\$6,415,234.54	\$5,827,267.06	\$5,506,115.57	\$8,818,570.39
Income-Low	\$24,188.42	\$339,452.45	\$320,744.60	\$297,890.11
Disbursement-current	\$781,882.13	\$820,976.24	\$862,025.05	\$905,126.30
Total	\$5,657,540.84	\$5,345,743.27	\$4,964,835.12	\$8,211,334.20
Initial Endowment	\$6,329,742.72	\$5,724,188.69	\$5,839,455.04	\$5,421,385.69
Income-Pessimistic	\$9,604.16	\$166,723.94	\$152,098.09	\$153,885.84
Disbursement-current	\$781,882.13	\$820,976.24	\$862,025.05	\$905,126.30
Total	\$5,557,464.75	\$5,069,936.40	\$5,129,528.08	\$4,670,145.23

Taking these forecasts, we next estimate the cost reduction at 80 percent of 2012 levels. This is slightly above expenditures in 2011. Appendix Table B.3 shows these estimates from 2013 to 2017. Note that in the base case, the cost reductions generate sustainability even without any additional revenue streams. In the other cases, revenue shortfalls are around \$300,000–\$400,000 in the low case and around \$500,000–\$600,000 in the pessimistic case.

Table B.3. Estimated Net Revenue with Cost Reductions

Items	2013	2014	2015	2016	2017
Initial Endowment	\$1,167,869.19	\$6,717,779.57	\$6,353,997.83	\$6,567,073.11	\$6,776,154.71
Income-base	\$124,723.89	\$76,656.07	\$678,582.29	\$701,337.91	\$723,667.01
Disbursement-low	\$595,719.72	\$625,505.70	\$656,780.99	\$689,620.04	\$724,101.04
Total	\$696,873.37	\$6,168,929.93	\$6,375,799.14	\$6,578,790.98	\$6,775,720.67
Initial Endowment	\$1,084,608.88	\$6,568,632.37	\$6,155,538.41	\$6,033,052.45	\$5,865,718.53
Income-Low	\$63,181.10	\$33,124.22	\$358,575.05	\$351,439.95	\$341,692.34
Disbursement-low	\$595,719.72	\$625,505.70	\$656,780.99	\$689,620.04	\$724,101.04
Total	\$552,070.26	\$5,976,250.88	\$5,857,332.48	\$5,694,872.36	\$5,483,309.83
Initial Endowment	\$1,034,652.70	\$6,483,140.55	\$6,047,858.11	\$5,734,245.18	\$5,939,367.83
Income-Pessimistic	\$30,135.52	\$14,072.05	\$176,151.21	\$167,016.85	\$156,349.26
Disbursement-low	\$595,719.72	\$625,505.70	\$656,780.99	\$689,620.04	\$724,101.04
Total	\$469,068.49	\$5,871,706.90	\$5,567,228.33	\$5,211,641.99	\$5,371,616.05

Based on the cost reduction scenarios, options for revenue growth, and endowment income scenarios, we estimate the financial sustainability of CPI. These estimates are shown in Table B.4

These estimates suggest that CPI will be sustainable under any of the three options—current operational sustainability, slow operational growth, or aggressive growth—if the base scenario for endowment growth occurs. In this case, CPI will be sustainable by 2015. Under other scenarios, neither the current operational sustainability nor the slow operational growth will be sufficient to generate financial sustainability by 2017. The aggressive growth option, which requires both cost reductions and increased revenue from degree and nondegree courses, research grants, and consulting—will result in financial sustainability by 2015 under the low growth scenario for endowment income. Under no option will CPI be sustainable by 2017 if endowment income is only at inflation.

Table B.4. Estimates of Revenue and Costs Under Low and Pessimistic Scenarios

Base Scenario						
Items	2012	2013	2014	2015	2016	2017
Endowment Income	\$177,837.55	\$124,723.89	\$60,273.78	\$642,705.07	\$642,376.40	\$712,061.19
Degree Courses	\$6,000.00	\$24,000.00	\$37,500.00	\$52,500.00	\$75,000.00	\$75,000.00
Internet Courses	\$0.00	\$40,000.00	\$60,000.00	\$70,000.00	\$75,000.00	\$100,000.00
Certification & Training Courses	\$12,500.00	\$12,500.00	\$15,000.00	\$15,000.00	\$17,500.00	\$17,500.00
Grants	\$20,000.00	\$50,000.00	\$100,000.00	\$125,000.00	\$200,000.00	\$250,000.00
Consulting/Training	\$10,000.00	\$12,000.00	\$14,000.00	\$16,000.00	\$16,000.00	\$18,000.00
Projected Revenue	\$226,337.55	\$263,223.89	\$286,773.78	\$921,205.07	\$1,025,876.40	\$1,172,561.19
Total Revenue Needs--Current	\$709,190.14	\$744,649.65	\$781,882.13	\$820,976.24	\$862,025.05	\$905,126.30
Shortfall--Current	-\$482,852.59	-\$481,425.75	-\$495,108.35	\$100,228.84	\$163,851.35	\$267,434.89
Total Revenue Needs--Low Costs	\$521,254.75	\$547,317.49	\$574,683.37	\$603,417.53	\$633,588.41	\$724,101.04
Shortfall--Low Costs	-\$294,917.20	-\$284,093.60	-\$287,909.59	\$317,787.54	\$392,287.99	\$448,460.15
Projected Moderate Revenue	\$206,337.55	\$173,223.89	\$126,773.78	\$726,205.07	\$750,876.40	\$822,561.19
Shortfall--Moderate	-\$314,917.20	-\$374,093.60	-\$447,909.59	\$122,787.54	\$117,287.99	\$98,460.15

Low scenario						
Items	2012	2013	2014	2015	2016	2017
Endowment Income	\$97,002.30	\$63,181.10	\$24,188.42	\$339,452.45	\$320,744.60	\$297,890.11
Degree Courses	\$6,000.00	\$24,000.00	\$37,500.00	\$52,500.00	\$75,000.00	\$75,000.00
Internet Courses	\$0.00	\$40,000.00	\$60,000.00	\$70,000.00	\$75,000.00	\$100,000.00
Certification & Training Courses	\$12,500.00	\$12,500.00	\$15,000.00	\$15,000.00	\$17,500.00	\$17,500.00
Grants	\$20,000.00	\$50,000.00	\$100,000.00	\$125,000.00	\$200,000.00	\$250,000.00
Consulting/Training	\$10,000.00	\$12,000.00	\$14,000.00	\$16,000.00	\$16,000.00	\$18,000.00
Projected Revenue	\$145,502.30	\$201,681.10	\$250,688.42	\$617,952.45	\$704,244.60	\$758,390.11
Total Revenue Needs--Current	\$709,190.14	\$744,649.65	\$781,882.13	\$820,976.24	\$862,025.05	\$905,126.30
Shortfall--Current	-\$563,687.84	-\$542,968.55	-\$531,193.71	-\$203,023.79	-\$157,780.45	-\$146,736.19
Total Revenue Needs--Low Costs	\$521,254.75	\$547,317.49	\$574,683.37	\$603,417.53	\$633,588.41	\$724,101.04
Shortfall--Low Costs	-\$375,752.45	-\$345,636.39	-\$323,994.94	\$14,534.92	\$70,656.19	\$34,289.07
Projected Moderate Revenue	\$125,502.30	\$111,681.10	\$90,688.42	\$422,952.45	\$429,244.60	\$408,390.11
Shortfall--Moderate	-\$395,752.45	-\$435,636.39	-\$483,994.94	-\$180,465.08	-\$204,343.81	-\$315,710.93

Pessimistic Scenarios						
Items	2012	2013	2014	2015	2016	2017
Endowment Income	\$48,501.15	\$30,135.52	\$9,604.16	\$166,723.94	\$152,098.09	\$153,885.84
Degree Courses	\$6,000.00	\$24,000.00	\$37,500.00	\$52,500.00	\$75,000.00	\$75,000.00
Internet Courses	\$0.00	\$40,000.00	\$60,000.00	\$70,000.00	\$75,000.00	\$100,000.00
Certification & Training Courses	\$12,500.00	\$12,500.00	\$15,000.00	\$15,000.00	\$17,500.00	\$17,500.00
Grants	\$20,000.00	\$50,000.00	\$100,000.00	\$125,000.00	\$200,000.00	\$250,000.00
Consulting/Training	\$10,000.00	\$12,000.00	\$14,000.00	\$16,000.00	\$16,000.00	\$18,000.00
Projected Revenue	\$97,001.15	\$168,635.52	\$236,104.16	\$445,223.94	\$535,598.09	\$614,385.84
Total Revenue Needs--Current	\$709,190.14	\$744,649.65	\$781,882.13	\$820,976.24	\$862,025.05	\$905,126.30
Shortfall--Current	-\$612,188.99	-\$576,014.13	-\$545,777.97	-\$375,752.29	-\$326,426.96	-\$290,740.46
Total Revenue Needs--Low Costs	\$521,254.75	\$547,317.49	\$574,683.37	\$603,417.53	\$633,588.41	\$724,101.04
Shortfall--Low Costs	-\$424,253.60	-\$378,681.98	-\$338,579.21	-\$158,193.59	-\$97,990.32	-\$109,715.20
Projected Moderate Revenue	\$77,001.15	\$78,635.52	\$76,104.16	\$250,223.94	\$260,598.09	\$264,385.84
Shortfall--Moderate	-\$444,253.60	-\$468,681.98	-\$498,579.21	-\$353,193.59	-\$372,990.32	-\$459,715.20

Course Type	Suggested Price 2012	Suggested Price 2013	Suggested Price 2014	Suggested Price 2015	Suggested Price 2016	Suggested Price 2017
Degree Course	\$1,200.00	\$1,200.00	\$1,500.00	\$1,500.00	\$1,500.00	\$1,500.00
Internet Course	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00
Certification/Training Course	\$500.00	\$500.00	\$500.00	\$500.00	\$500.00	\$500.00

Student Type	Target Enrollment 2012	Target Enrollment 2013	Target Enrollment 2014	Target Enrollment 2015	Target Enrollment 2016	Target Enrollment 2017
Degree Student Targets	5	20	25	35	50	50
Internet Student Targets	0	40	60	70	75	100
Certification Courses	25	25	30	30	35	35

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