



# Assessment Recommendation Form

Chief of Police

Panel A

Rater: \_\_\_\_\_

For each question circle the number that most closely represents your assessment of the candidate.

**Question 1:** What has been your approach to community policing? Please give specific examples of where you have implemented community-policing strategies that were successful in reducing crime and improving community relations in diverse communities.

1	2	3	4	5
Low		Medium		High

**Question 2:** What is your assessment of the Seattle Police Department? What is working well and what is not? What would be your priorities for the Department?

1	2	3	4	5
Low		Medium		High

**Question 3:** What would you do to develop credibility as the new Chief of Police? What experience would you bring from your previous jobs and assignments to help you to be successful as Seattle's new Chief?

1	2	3	4	5
Low		Medium		High

**Question 4:** Describe your experience building coalitions within diverse communities for the purposes of creating trust, solving community problems and promoting better relations between the police and the community.

1	2	3	4	5
Low		Medium		High



# Assessment Recommendation Form

Chief of Police

Panel A

Rater:

For each question circle the number that most closely represents your assessment of the candidate.

**Question 6:** Do you have experience in conducting or reviewing a significant officer misconduct investigation? If so, please describe your experience, including how you addressed any internal and external concerns about any discipline imposed - or the absence of discipline. If not, please describe the principles you believe should bear on the investigation of possible misconduct and the imposition of discipline.

1	2	3	4	5
Low		Medium		High

**Question 7:** Has your character or ethics ever been seriously challenged and, if so, what did you consider in your response and how did you deal with the consequences?

1	2	3	4	5
Low		Medium		High

**Question 8:** Please tell us of a time when you had to lead your organization during a crisis. Explain what approach you took and the steps that were taken to insure that the situation was handled expediently, appropriately, and with success.

1	2	3	4	5
Low		Medium		High

**General Notes:**

Overall Candidate Assessment			
Assessment Criteria	Low	Medium	High
Professional Education			
Professional Experience			
Integrity (Strong Character)			
Strategic Leadership			
Management			
Interpersonal Communications and Community Relations Skills			
Labor Management Experience			
Police Experience			
Overall			



# Assessment Recommendation Form

Chief of Police

Panel B

Rater:

For each question circle the number that most closely represents your assessment of the candidate.

**Question 1:** If you were selected as Seattle's next Chief of Police, what would be your immediate priorities, and what steps would you begin to take to accomplish these priorities?

1

2

3

4

5

Low

Medium

High

**Question 2:** Social Justice and Cultural Competency are two terms that frequently came up in discussion about our next Police Chief. Can you define what these terms mean to you and how they are reflected in a Police Department under your command?

1

2

3

4

5

Low

Medium

High

**Question 3:** How would you go about building a leadership team that is cohesive and willing to take personal responsibility for their actions, and how would you hold them accountable for carrying out your vision and message to the rest of the organization?

1

2

3

4

5

Low

Medium

High

**Question 4:** Can you give us an example of a time when you made a mistake in a management decision and what you learned from that situation?

1

2

3

4

5

Low

Medium

High



# Assessment Recommendation Form

Chief of Police

Panel B

Rater:

For each question circle the number that most closely represents your assessment of the candidate.

Question 6: How would you measure the level of community satisfaction with the Seattle Police Department?				
1	2	3	4	5
Low		Medium		High
Question 7: Describe your experience in collaborating with organizations other than law enforcement agencies in a team approach to addressing crime related issues?				
1	2	3	4	5
Low		Medium		High
Question 8: How have you utilized the data collected by your department (such as time of arrest, date of arrest, location of arrest, charge, race and ethnicity of arrestee) to guide your decisions regarding policing? In your opinion how can the Seattle Police Department best leverage data to better protect the community?				
1	2	3	4	5
Low		Medium		High

General Notes:

Overall Candidate Assessment

Assessment Criteria	Low	Medium	High
Professional Education			
Professional Experience			
Integrity (Strong Character)			
Strategic Leadership			
Management			
Interpersonal Communications and Community Relations Skills			
Labor Management Experience			
Police Experience			
Overall			



## Essay Questions – Competitive Exam Process

Chief of Police

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The following questions are part of the City's competitive exam process and will be utilized by the Search Committee and Mayor in the assessment of Police Chief Candidates. These essay questions are part of the competitive exam process and are subject to public disclosure.

Please answer each of the following questions in no more than two single spaced pages. Your responses will be reviewed by the Search Committee prior to your interview.

### **Question One**

The City of Seattle is anticipating a \$50M budget shortfall in 2011. This makes efficient use of resources an even greater operational imperative. In your current (or most recent) position how have you developed and implemented reductions to the police department budget without compromising public safety, morale and innovation?

### **Question Two**

Over ninety percent of the personnel in the Seattle Police Department are represented by a union. Under Washington State law changes to working conditions are generally subject to collective bargaining. In your current (or most recent) position how have you implemented changes to staff deployment to support your department's strategic plan and how have collective bargaining obligations affected your decisions?

### **Question Three**

How have you addressed concerns regarding racial and social disparities in the development and implementation of policing practices?



## **Semi-Finalist Essay Responses**

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City of Seattle

**Essay responses for Police Chief Candidate:**

**John Diaz**

**Competitive Exam Material – Do Not Copy or Distribute**

### **Response to Question One by Interim Chief John Diaz**

Communities both large and small are being forced to resort to layoffs, furloughs and reductions of services to an extent that was unheard of for many years. These reductions are coming at a time when the nation is suffering an economic crisis not seen in decades. Cities such as ours, that have enjoyed historic reductions in crime, are beginning to see increases in crime. Desperation rises as people are losing their jobs and homes, and social safety nets that had been available in normal economic times are fraying and disappearing. The City of Seattle is anticipating a 50 million dollar shortfall in 2011. Unanticipated cuts to social service programs that may be inevitable will make the efficient use of police resources an even greater operational imperative to ensure a high level of public safety for our citizens.

In my 30 plus years with the Seattle Police Department (SPD), it has only been in the last decade that my involvement with the budget process has given me a new appreciation of the challenges that need to be met in order to balance the budget without compromising public safety, morale or innovation. A brief overview of my history can give you an insight into the approach I have taken in the past on SPD's budget, and then I will discuss my approach to this current economic crisis.

Prior to 2001, my over 20 years of experience with SPD was working in Operations – the Patrol Bureau, Investigations Bureau, Internal Investigations Section. During that time I never worked solely as an administrative professional or budget manager. As a Captain in various sections, I oversaw budgets that ranged from 2.5 million dollars to over 15 million dollars. The approach I took in each unit was to ensure that there were clear guidelines for the use of the money and oversight of how the money was spent. During this period of time our organization's approach to the budget was quite decentralized. The challenge that we experienced, and frankly will always struggle with, is that many situations were outside of the direct control of the police department. Critical criminal investigations, increases in criminal activity in various neighborhoods, special events, and unplanned visits by dignitaries, all challenged the Department's ability to operate within its allocated budget. The reputation of the Department during that time was that SPD was not a good steward of the public's resources.

In 2001, Chief Gil Kerlikowske promoted me to the rank of Deputy Chief and, to my surprise, moved me from my comfort zone in running Operational Sections to becoming the Deputy Chief of Administration – in essence an administrative professional and budget manager. Chief Kerlikowske gave me two mandates; one, to lead the Seattle Police Department towards attaining National Accreditation, and second, to overhaul our budget process (which was over 200 million dollars at the time) to ensure it came in balanced each year. What I first viewed as a curse by our new Police Chief became a key factor in my growth as a leader. I was fortunate in having innovative and experienced staff within the department, such as Valerie Anderson and Marian Merkel, as well as city budget assistance from individuals such as Dwight Dively and Doug Carey.

I took a straightforward approach to meet this challenge of managing the administration and budget of a large police agency. My initial impressions of the budget process were that, unlike private business, government tends to be less nimble in making changes in how it conducts its business practices and less able to react to changes in the economy. I immersed myself into every detail of SPD's budget. One of the first steps I took in reaching a balanced budget was to develop a procedure that required my signature for approval on all expenditures. Previously, expenditures were approved by different commanders throughout the Department in a highly decentralized process without close oversight. Next, I began a practice to meet with the budget staff each week to review the necessity of every single expenditure request and compare it to the overall needs of the Department. We began to look at where we could trim costs in a way that would not impact our services or morale. These procedures resulted in both small and large changes to our overall budget.

One aspect of the budget we looked at was what might be termed "outlier expenditures" to see if there was a more efficient way of doing business. An example of such costs was how we were using copy machines in the Department. We had numerous contracts with four different vendors for copy machines at different police facilities around the City. We worked with users to evaluate their needs with the goal to significantly reduce the lease costs of our copiers. As a result of this effort, we stopped compartmentalizing our copier business, switched to one primary vendor and realized savings of over \$120,000 in one year. Another innovation that occurred was establishing a procedure to provide more oversight on how we staffed officers at special events. Requiring final approval for all officers working a special event by the event commander drastically reduced costs in overtime for the Department. These additional steps of oversight and stricter review of expenditures resulted in five years of balanced budgets and some years with a surplus that could be returned to the City's general fund.

When given the assignment of overhauling the Department's budget process, the approach I took was a radical departure from our previous history of having an extremely decentralized budgeting culture. And while I did have procedures in place that allowed for bringing in additional resources as needed to ensure public safety, these new procedures did have ramifications for morale. Some commanders rightly believed that their budget authority had been stripped. I also believe that they felt this approach shifted the responsibility of the budget from everyone's responsibility to only one person's responsibility – mine.

Recognizing this unintended effect required another viewpoint, which resulted in many changes in how we now address budget oversight. A few examples of how the Department is balancing a more centralized budget process with shared responsibility are the following: with respect to training expenditures, we now have a training committee, run by a Captain; in a similar vein, overtime allocations for each section are evaluated by the respective bureau's commander, allowing direct involvement by section commanders and greater flexibility in the process. We continue to have a culture of central oversight and, I am proud to say, have gained a reputation of strong fiscal responsibility.

Your question rightly asks how we reduce budgets without compromising public safety, morale or innovation. In the past budget reductions, we instituted a process that set functional priorities for every line of business in the Department. These priorities placed emergency response, follow-up investigations and oversight at the forefront of our core mission. In this current economic crisis there may be lines of business that we will have to either suspend or cancel, but having established our functional priorities provides us with a solid framework from which to proceed.

Despite the current fiscal situation in the City, we are extremely fortunate on a couple of different fronts in our ability to sustain the Department's commitment to innovation. We have over 17 million dollars in grants that help us in a variety of areas, from homeland security to gang violence reduction. We are also very fortunate to have the Seattle Police Foundation as a partner. The Foundation is made up of highly successful business and community leaders who have put together a grant process to fund new ideas. It has funded items such as Blackberries for bicycle officers and having Automated External Defibrillators in every patrol car. We continue to look at new ways to improve our Department through resources external to the City, as they come available.

In conclusion, our current budget practices now have a more inclusive approach to decision making on priorities but with a strong central, oversight component. The Criminal Justice System has in many ways become the default mechanism to deal with many of the social conditions facing our society today. This tendency not only will continue to stress our budgets, but also will give us an opportunity to leverage and collaborate more closely with our partners throughout various public and private institutions. In my years serving as an administrative professional and a budget manager, I believe that I created balanced budgets while at the same time ensuring that public safety needs are being met, allowing for innovations and creating solutions to raise morale, when cuts or changes had to be made.



## **Response to Question Two by Interim Chief John Diaz**

Over 90 percent of the personnel in the Seattle Police Department (SPD) are represented by a union. Under Washington State law, changes to working conditions are generally subject to collective bargaining agreements. SPD has eight different unions that it works with on a regular basis. Until the last 10 years of my career at SPD, I had been a member of either the Seattle Police Officers Guild (SPOG) or the Seattle Police Management Association (SPMA). During the last decade, I had been the lead in our monthly Joint Labor Management Committee (JLMC) meetings with SPOG until I was appointed Interim Chief of Police. I also represented the Department as part of the City Negotiation Team for the last SPOG contract. These experiences strengthened my belief that in the overwhelming majority of issues that arise during the normal course of business, unions and management have a similar vision for the police department. We jointly share a belief in providing the best service possible to our community in order to keep them safe, in providing the best tools and training to keep our officers safe, and in a belief in oversight and transparency.

An ongoing concern for unions and management will always be how best to deploy our scarce resources in such a way that we maximize efficiencies and do so in a way that works in keeping within the boundaries of our labor agreements. There is a process codified in labor agreements that allows changes in deployment through our Employment Involvement Committee (EIC). Committees such as the EIC are formed with participation from both labor and management to look at efficiencies and changes in work schedules that jointly benefit both. As a member of the JLMC I know that this process is effective and valuable. A current example would be the change in work hours that has taken place in the Harbor Patrol Unit, allowing more efficient deployment of their resources. Many different options were considered, but through cooperation by both the unions and management, an agreeable and optimal shift schedule was created.

We have had a succession of ten-year strategic plans over time, each one bringing new ideas and innovations to the Department. The cornerstone of our current deployment of resources is based on our Neighborhood Policing Plan project that was led by Deputy Chief Clark Kimerer. This plan took a detailed look at the workload, staffing levels and metrics of the entire patrol force and made some significant changes. The changes included the balancing of workloads, the realignment of districts and, most importantly, brought back the concept of geographic integrity into our patrol operations. The last phase of this plan requires changes in the shift hours and times for patrol to align more closely with workload peaks and valleys. Although somewhat radical in police circles, this approach – align your staff and schedules to mirror your workload – is considered a basic, best practice to most private businesses. A similar examination of staff schedules and workload is being conducted for our detectives and is currently being led by Assistant Chief Jim Pugel and a team of detectives in the Investigations Bureau.

The change in working conditions by an employee represented by a union requires that we bargain the impacts of that decision. In the case of the Neighborhood Policing Plan (NPP), we went through an extensive negotiation process that is spelled out in the current SPOG contract to work through the variety of issues that come into play in order to make these changes. Our current budget will have great impact on when and how NPP can be fully implemented. I plan to continue to work collaboratively with our unions in upcoming negotiations to determine how best to meet the needs of the Department and community with regard to patrol staffing.

Several years ago prior to opening contract negotiations, union representatives, Chief Kerlikowske, members of the mayoral executive team and I went through a two-day Interest Based Bargaining Training Course. The approach taken in the course, which I continue to feel has great promise, encourages a problem-solving aspect within contract negotiations. It has been my experience that early involvement and collaboration with labor on issues of concern creates higher-quality solutions and lasting results. One

### Response to Question Three by Interim Chief John Diaz

Race and social justice is an area that deeply concerns me. The opportunities and promise available in our country are the envy of the world. However, the issue of race continues to plague us. Racial disparities are outcomes of virtually all institutions in our society, regularly exhibited in the form of disparate academic achievement, health indicators, income and economic well-being. My concerns with race and social justice have both personal and professional origins. As the son of immigrants, my awareness of institutional differences was heightened and gave me particular insight into how law enforcement is perceived by different communities. In addition, rather than detracting from my desire to be in law enforcement, this experience gave me additional incentive to take on this career.

My professional concerns about race and social justice are rather straightforward. While many in our society may decry racial disparities, they may do so from a comfortable distance. Police officers cannot. Day in and day out, police officers confront persons — as victims, as witnesses and as offenders — whose circumstances have been shaped by racial inequities. Moreover, police officers are placed in the unenviable position of asking these same persons to comply with and have faith that the governmental institutions they represent will produce just outcomes. Needless to say, this is often a tough sell.

By the late 1990s the issue of racial profiling by law enforcement agencies was becoming a national controversy, with more and more departments being accused of engaging in racially motivated practices. In the interest of being part of the solution to address these issues, I joined a taskforce put together by then-State Supreme Court Justice Bobbe Bridge and King County Councilmember Larry Gossett. The taskforce included members of the Defenders Association, judges, prosecutors, corrections officials, and other program managers such as James Bell from the Law and Youth Justice Center of San Francisco. In this project, I volunteered our Department's statistics in traffic stops to be used to study the issue of profiling. I worked closely with Bob Scales, who at the time was with the Office of Policy and Management, and developed a detailed review of over 130,000 traffic stops the Department conducted in 1999.

The traffic stop data proved extremely valuable to the group, allowing it to study the issue using concrete information rather than abstract concepts of the outcomes in police encounters. For my work on this task force, I received the 2001 "Unsung Hero Award" by the San Francisco Youth Law Center. In some quarters there was concern that providing the traffic data had made the Department vulnerable to further accusations of profiling, but I was extremely proud of our Department for taking a leadership role on this crucial issue.

As a result of this work, I was then appointed to a number of different committees that focused on race and social justice issues. An early taskforce that led the way was the Racial Disproportionality Project in which I was the Department lead. In late 2001, the Seattle City Council passed a resolution addressing racial profiling and the Council and Mayor jointly worked with our Department in a multi-prong approach, including:

- Citizens' taskforce to design a data collection system
- Specific policy condemning racial profiling
- Training
- Studying the feasibility of using video cameras
- Increase strategies for building community partnerships
- Ongoing accountability measures

Those approaches within the Department's control, such as video cameras in patrol vehicles, and policy, training, accountability and outreach initiatives, have been undertaken. In addition, this early work has

been built upon and we continue to move forward in this area. For example, I meet with each police academy graduating class and their families. I discuss our City's race and social justice agenda and make sure that each graduate receives a copy of our policy against bias-based policing. I begin each discussion with the fact that as police officers they have an incredible responsibility in how they handle their duties. I always quote Lincoln's statement that "most can handle adversity, but the true test of their character is how they handle power". In speaking with new officers, I have incorporated the idea that it is not what you *can do* as a police officer, but rather what you *should do* that can make the most difference.

I continue to work with some of the best and brightest of our Department to try new initiatives to address systemic disparities. The Drug Market Initiative is a good example of such an approach. This initiative tries to ensure that the community is safe, while enlisting their assistance to stop the drug dealing on their streets, without resorting to incarceration of the suspects. This approach has shown promise and we will be replicating the program in another neighborhood shortly.

I have worked with members of the Department's Race and Social Justice Core Team to strengthen ties between our Department and our community in a variety of ways. Working with our finance director Valerie Anderson, Chief Administrative Officer, I was proud to see her expand the economic opportunities for women and minority-owned businesses, as our Department's spending with such businesses has grown from 3 percent to over 20 percent over the last five years. Working closely with OPA Director Kathryn Olson, I have been intent on ensuring that we thoroughly investigate misconduct cases and that we are transparent in our work. Such efforts continue to pay dividends in strengthening our community partnerships. Working with a professor from the University of Washington, we continue to assess the responses by our officers to persons who call 9-1-1. This effort helps to build continuous improvement in our service. Our Department's policy of not asking for citizenship status helps strengthen our ability to work closely with all of our communities.

Other activities of the Department testify to our initiative and innovation in reaching out to all parts of the community. Successful attainment of National Accreditation by the Commission on Accreditation for Law Enforcement Agencies (CALEA), for example, highlights the commitment by the men and women of our Department to adhere to the highest standards of our profession. Our new initiative, the Neighborhood View Point, introduces the idea of customizing our police response for every neighborhood in the city. Our outreach in dealing with gang violence, providing school resource officers, our truancy and mentoring programs, our outreach to women prisoners and their daughters, are but a few of the many initiatives of this Department, designed to change the institutional outcomes for many.

I am personally involved in the following groups and organizations that address racial and social disparities:

- City of Seattle's Race and Social Justice Initiative
- Latino Advisory Council
- Salvation Army – multiple programs that assist the most needy in our community
- Scoutreach – bringing lessons from scouts through sports
- Center for Children and Youth Justice – work on system changes in how we handle youth

This last year has been one of successes and great tragedies in our city. The men and women of our police department were successful in solving some horrific crimes. I continue to assert that we need three ingredients to succeed: excellent police officers, innovative science and community involvement. A progressive police department is one that understands we must work in close partnership with our community to be effective. Racial and social disparities – left unaddressed – only lead to a community that distrusts the police and to frustration on both sides. It is my desire to address these issues head on, jointly and openly, in order to better serve the community and the Department that I lead.



# Semi-Finalist Interview Questions

Chief of Police

Panel A	Panel B
What has been your approach to community policing? Please give specific examples of where you have implemented community-policing strategies that were successful in reducing crime and improving community relations in diverse communities.	If you were selected as Seattle's next Chief of Police, what would be your immediate priorities, and what steps would you begin to take to accomplish these priorities?
What is your assessment of the Seattle Police Department? What is working well and what is not? What would be your priorities for the Department?	Social Justice and Cultural Competency are two terms that frequently came up in discussion about our next Police Chief. Can you define what these terms mean to you and how they are reflected in a Police Department under your command?
What would you do to develop credibility as the new Chief of Police? What experience would you bring from your previous jobs and assignments to help you to be successful as Seattle's new Chief?	How would you go about building a leadership team that is cohesive and willing to take personal responsibility for their actions, and how would you hold them accountable for carrying out your vision and message to the rest of the organization?
Describe your experience building coalitions within diverse communities for the purposes of creating trust, solving community problems and promoting better relations between the police and the community.	Can you give us an example of a time when you made a mistake in a management decision and what you learned from that situation?
What crime prevention and outreach strategies have you employed to foster support to the youth of the community and help to curb gang, drug and youth related crime?	Provide us with an example of your approach to an organizational challenge that you have faced that reflects your leadership style.
Do you have experience in conducting or reviewing a significant officer misconduct investigation? If so, please describe your experience, including how you addressed any internal and external concerns about any discipline imposed - or the absence of discipline. If not, please describe the principles you believe should bear on the investigation of possible misconduct and the imposition of discipline.	How would you measure the level of community satisfaction with the Seattle Police Department?
Has your character or ethics ever been seriously challenged and, if so, what did you consider in your response and how did you deal with the consequences?	Describe your experience in collaborating with organizations other than law enforcement agencies in a team approach to addressing crime related issues?
Please tell us of a time when you had to lead your organization during a crisis. Explain what approach you took and the steps that were taken to insure that the situation was handled expediently, appropriately, and with success.	How have you utilized the data collected by your department (such as time of arrest, date of arrest, location of arrest, charge, race and ethnicity of arrestee) to guide your decisions regarding policing? In your opinion how can the Seattle Police Department best leverage data to better protect the community?

May 8, 2010



## Semi-Finalist Interview Questions

Chief of Police

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May 8, 2010