       CHAPTER 3.   TECHNIQUES FOR SECURITY PLANNING

10.   WHY PLANNING?   It would be misleading to attempt to prescribe a
      standardized set of specific security measures for all of the
      enormous variety of HUD-assisted multifamily housing projects
      throughout the nation. For that very practical reason, this
      Handbook eschews a simplistic "how-to-do-it" approach. In each
      instance, the security program should be tailored to the unique
      set of needs and constraints which pertain to the particular
      project and its residents. This makes careful project-by-
      project planning imperative and, as noted in Chapter 2 above,
      such planning should be the primary responsibility of
      Management. Although this imposes a heavy burden upon
      Management, the time and effort invested in planning yields high
      dividends, whereas action without thorough planning risks waste,
      frustration,and even deterioration of project security.

11.   BASIC PLANNING PROCESS. While no standardized result, in terms
      of specific security measures, can be recommended, a relatively
      standardized methodology for the planning process itself can be
      validly prescribed. The principles of security planning are
      much like those which are familiar to Management from its
      planning of other aspects of housing operations. Whatever the
      circumstances, the same basic planning process is recommended:
      Make a preliminary estimate; obtain and analyze the facts; build
      alliances; make decisions; assemble resources; evaluate and
      modify on a continuing basis. For the small project, this
      process can be telescoped into a relatively simple and speedy
      effort. For large projects, highly-structured planning may be
      necessary. Subject to such adaptations, however, the process is
      essentially the same for all projects.

12.   DETAILED STEPS IN THE PLANNING PROCESS. The following is a
      step-by-step guide to the process of security planning, and can
      be readily adapted to the circumstances of each particular
      project:

      a.   Preliminary Estimate. At the outset, Management (with the
           assistance of other key participants) should make a
           preliminary estimate of problems, constraints, goals,
           remedial measures,and further planning tasks. This estimate
           must be completed quickly, and will thus be merely in the
           nature of a rough appraisal. It should, however, point a
           definite direction for further planning. The following
           procedure is recommended for preparing the preliminary
           estimate:

      (1) Staff Estimate. First of all, Management staff should
           prepare (in written format) its best estimate of

problems, constraints, goals, remedial measures, and
further planning tasks. This estimate should be based
upon such information as is readily available to
Management staff.

(2) Policy Input. The staff estimate should then be
     submitted to appropriate policy-level Management
     officials (LHA Board of Commissioners or executives of
     the private owner and managing agent) for their
     preliminary guidance. This can avoid unnecessary or
     mistaken effort later in the planning process.

(3) Resident Input. Next, the staff estimate (as revised
     after policy input) should be submitted to the
     residents' organization for its review and
     suggestions. At the least, quick resident input at
     this point will serve to indicate the major concerns
     of residents and identify options which are clearly
     unacceptable to residents. This step will also serve
     to bring the residents' organization into early
     partnership with Management.

(4) Revised Estimate. After the foregoing steps are
     completed, Management staff should attempt to
     reconcile all inputs and prepare a revised estimate
     which will include a detailed planning agenda. This
     agenda should specify all remaining tasks, and persons
     responsible for each. It should be recognized,
     however, that changes in the agenda will probably be
     necessary as further planning proceeds.

b. Obtaining and Analyzing the Facts. Perhaps the most
common defect in residential security programs is the
implementation of protective measures without first
ascertaining the exact nature and degree of the project's
security problems. All too often, Managers have installed
expensive systems for hardware, lighting, electronic
surveillance, or security personnel without an accurate
assessment of the probable effectiveness of such measures
against particular types of offenses. Severe problems
sometimes dictate action before all of the facts can be
gathered and analyzed, but even quick response must be
based upon the best factual estimate which can be made in
the time available. See paragraph 14 below. The following
procedure is recommended here:

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(1) The fullest possible investigation should be made of the
    facts bearing upon security problems, resources, and
    constraints. See paragraph 13 below for suggestions as to
    specific factual inquiries. Methods of conducting the
    investigation may differ with circumstances. In a small

project, the task should be relatively simple. In a large
project, the use of qualified specialists and elaborate
investigative techniques (e.g., questionnaires, examination
of police statistics, in-depth interviews of residents and
project Management staff) may be necessary.

(2) Analysis of the raw factual data will then enable Management
     to determine the relative importance of the various factual
     elements discovered, and the relationships among those
     elements. Much of this can be done as investigation
     proceeds, but some overall analysis should be reserved until
     the factual picture is virtually complete.

c. Building Alliances. Early in the planning process, Management
    should begin to build working alliances with the other three key
    participants, plus any other parties whose assistance and support
    are desired. Since the fact-finding phase involves considerable
    interaction with other participants, it provides excellent
    opportunities to cement these alliances. Each participant's
    role, and the resources needed from each, should be discussed
    fully.

d. Making Decisions. Factual analysis merges automatically into
decisions on the final content of the security program. With a
thorough factual base, Management can make well-reasoned
decisions as to the set of specific security measures which best
meet the needs and constraints identified. It is recommended
that, even in the small project, the security program finally
adopted be put into written format, and copies distributed to
appropriate Management personnel and to each of the other key
participants. The following matters should be considered at this
point in the planning process:

(1) Policy-Level Ratifications. The final security program
     should be ratified by appropriate policy-level Management
     officials (e.g., the LHA Board of Commissioners or
     executives of the owner and managing agent). In addition to
     the procedural necessity for obtaining proper authorization,
     this step serves to sharpen such officials' awareness of,
     and involvement in, the program.

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   (2) Concurrence of Other Key Participants. While
        Management is entitled to insist upon its due
        prerogatives as to decisions affecting project
        security, as a practical matter other key participants
        must have a strong voice in major decisions. Most
        protective measures will prove ineffective without the
        support of residents and the Police Department. It may
        be wise to have the residents' organization give its
        formal endorsement of the plan. To the extent that
        outside resources are needed to implement the plan,
        concurrence must, of course, be obtained from the

organizations controlling those resources.

    (3) Goals. The plan should set forth realistic goals, with order of priority and reasonable target dates. Short-term goals are the most amenable to detailed definition at the outset, but longer-term goals should be projected as far in the future and with as much specificity as is consistent with realism.

e. Assembling Resources. To the extent that desired security measures depend upon non-Management resources, definite commitments must be obtained before final decisions can be made on the security plan. It is preferable to complete this task during the fact-gathering step. However, where major funding is to be requested, it is ordinarily necessary to prepare a detailed proposal before a commitment can be obtained. If phased action over a long period of time is planned, it may be possible to postpone assemblage of resources necessary for later phases. In any event, Management should be prepared to make changes dictated by the actual availability of resources.

f. Evaluation and Modification. Management's planning function should not stop when implementation of the security program begins. On the contrary, no program should be regarded as indefinitely fixed. Throughout the implementation phase, Management (again with the assistance of other key participants) should carry on continued evaluation and modification of the security program, in order to keep abreast of changing conditions.

13. FACTUAL INQUIRIES. For the full factual investigation described in subparagraph 12b(1) above, the following are questions which should ordinarily be answered in as much detail as possible (this list is not necessarily exhaustive):

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a. What Is the History of Crime in the Project? The fullest possible information should be obtained on specific types of offenses (completed and attempted) over the recent past. See subparagraph 5b(1) above. The Police Department and/or the local Criminal Justice Coordinating Council (CJCC) may be able to assist in compiling these data.

b. What Are the Relevant Characteristics of Offenders and Victims? Factors bearing on motivation of offenders and vulnerability of victims, in regard to specific types of offenses, should be explored. The ages of both offenders and victims are important here. In addition, the extent to which offenses are the work of residents or nonresidents should be determined.

c. What Are the Probable Future Trends of Crime and Vandalism Within
the Project? Opinions of law enforcement, correctional and
social services professionals are especially valuable here, but
Management should give independent weight to indications from the
data produced by its other inquiries. This projection should be
broken down by specific types of offenses. See subparagraph
5b(1) above.

d. What Are the Relevant Characteristics of the Surrounding
Neighborhood? Of primary interest here is identification of the
nature, incidence, and trends of crime in the immediate
neighborhood, as these data affect the project and its residents.
Facts about neighborhood facilities and services are also
pertinent here.

e. What are the Relevant Social Forces at Work in the Larger
Community? Such factors as economic trends, illegal drug
traffic, migration patterns, racial tensions, land development,
and general public attitudes should be considered for their
implications for project security.

f. What Characteristics of the Project's Residents Contribute to the
Encouragement or Deterrence of Crime and Vandalism? Both
positive and negative factors (e.g., those related to family
stability, age, income, employment, racial discrimination, and
social attitudes) should be assessed. See especially paragraphs
38 and 39 below.

g. What are the Nature and Degree of Resident's Fear of Crime? See
subparagraph 5b(4) above.

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h. What Specific Physical Characteristics of the Project's
    Buildings and Grounds Contribute to the Encouragement or
    Deterrence of Crime and Vandalism? Site layout, landscaping,
    structural design, equipment, lighting,and hardware are among
    the elements which should be studied. On this point, there
    is no substitute for a thorough inspection of the property by
    a qualified expert on the architectural aspects of security.
    See Chapter 4 below.

i. What Are the Nature and Quality of Police Department
    Services to the Project and its Residents? In addition to
    information from the Police Department itself, residents'
    views and independent Management evaluation should be
    considered. See paragraphs 27 through 30 below.

j. What Are the Nature and Quality of Other Protective Services
    Within the Project? Existing security personnel (e.g.,
    Management and tenant patrols, lobby monitors, contract
    guards) and other "software" measures already in operation
    should be evaluated in terms of cost-effectiveness. See
    paragraphs 31 through 35 and Chapters 6 through 8 below.

k. How Do General Management Policies and Practices Affect
    Security? Among matters for exploration here are existing
    conditions regarding organization, staffing, training,
    administration, maintenance, occupancy policies,and
    Management-resident relations. See especially Chapter 6
    below.

l. What is the Potential of the Residents' Organization for
    Assisting with a Security Program? See Chapter 6 below.

m. To What Extent Does Management Have In-House Technical
    Capabilities in Security?

n. What Additional Technical Assistance Is Needed and How Can It
    Be Obtained? See paragraphs 59 and 60 below.

o. What Are the Options for Additional Hardware and Software
    Measures? As many reasonable options as possible should be
    identified and evaluated for cost-effectiveness. See
    Chapters 4 through 8 below.

p. What Are the Residents' Views on Various Security Measures?
    This inquiry should cover hardware and software measures

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    which have actually been employed and the additional options
    identified under subparagraph 13o above. Care should be
    taken to ascertain whether or not specific measures are
    acceptable to residents.

q. How Does Security Relate to the Project's Financial
    Condition? The effect of security problems and remedies on
    both the capital investment in the property and the
    operating budget should be studied.

r. To What Extent Can New Security Measures be Financed from
    Sources Other Than the Regular Operating Budget? See
    paragraphs 57 and 58 below.

s. What Social Services Are Needed in Connection with Project
    Security? Existing social services should be evaluated, and
    an estimate made of additional needs. Specific sources for
    meeting those additional needs should be identified. See
    Chapter 7 below.

t. How Do Federal, State and Local Laws and Regulations Affect
    Project Security? See paragraph 8 above and subparagraph
    16e below.

14. EMERGENCY MEASURES. While thorough planning of the type
indicated indicated in paragraphs 12 and 13 above will require
considerable time, and is designed to produce a comprehensive

program extending over the long term, such planning by no means precludes short-term or even emergency action. Intrinsic to this process is the setting of priorities and target dates for phased actions. It should normally be possible to launch some short-term actions (particularly of the "Check" type) before preparation for longer-term actions (particularly of the "Cure" type) is complete. Where critical security problems create a need for emergency measures, it will be necessary to modify the steps outlined in paragraphs 12 and 13 above. Nevertheless, blind action is never justifiable, and some advance planning is always both necessary and possible, even in emergencies. Accordingly, the following points should be observed in emergency situations:

a. The maximum planning permitted by the circumstances should be undertaken in emergencies. At the least, a deliberate though rapid Management estimate of the facts should be made. Such planning steps as quick physical inspection of the

property and consultation with the residents' organization and the Police Department should ordinarily not result in unacceptable delay.

b. To minimize the risks of hasty action, emergency measures should be limited to those which appear necessary to meet critical problems. Special caution should be taken in regard to measures which involve heavy expense, which are likely to be difficult to modify or which might cause undesirable "side effects." While this Handbook generally advises against a piecemeal approach, minimal "stopgap" measures may be the best interim approach to emergency problems.

c. Options should be preserved for different or additional measures after further planning. Limited emergency measures can be made consistent with orderly phasing of actions, as part of a well-planned comprehensive security program over the long term.

15. SPECIAL PLANNING CONSIDERATIONS FOR NEW OR RENOVATED HOUSING.
Where new construction or renovation of multifamily housing is contemplated, security planning takes on a special dimension. Here Management is not constrained by fixed physical conditions, but has many options to build in major security features at acceptable cost. In these situations, the following elements must be considered in adapting the planning process previously outlined:

a. Site Selection. For new construction, security planning should begin with site selection. HUD Site Selection

Criteria include provision for management analysis which
would include security concerns. The site itself has major
and sometimes irreversible consequences for long-term
security. Subparagraphs 13d and 13e above are particularly
relevant here.

b. Residents' Characteristics. In planning for new
construction or renovation, Management is afforded unique
opportunities concerning the selection of a new generation
of residents. The first choice relates to the types of
households to be accommodated--family or elderly, large or
small. Unit size will affect the number of resident
children, with probable consequences for security. After
targeting the general market, Management should cause
security concerns to be reflected in its tenant selection
policy. See paragraph 44 below. Even if Management does not
fully

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exercise its options in these respects, a thorough knowledge
of the targeted market will at least let Management know
what to expect as to security-related characteristics of
prospective residents.

c. Design and Hardware. One of the most important security
options for new or renovated housing lies in the area of
architectural design and hardware. See Chapter 4 below.
Preplanning offers unique opportunities to build in good
security features at feasible cost, and the architects
should have a thorough knowledge of specific security
problems anticipated and the state of the art of
architectural planning for security. See paragraph 19
below.

16. ALLOCATION OF RESPONSIBILITIES FOR SPECIFIC PLANNING TASKS.
Subject to the overall responsibility of Management,
responsibilities for specific planning tasks should be clearly
assigned to particular persons or organizations. For the small
project, this will probably be a simple matter, but in all
instances responsibilities should be clearly fixed and
incorporated in the planning agenda suggested in subparagraph
12a(4) above. The following guidelines should be observed in
this connection:

a. Central Responsibility. One specific person on Management's
staff should be assigned central responsibility for security
planning, even if an outside consultant is also retained to
conduct the planning effort and regardless of what
subsidiary responsibilities are assigned to non-Management
participants. If Management has a Staff Security
Specialist, that person would be the logical choice, but in
any event the designated staff member should be an
executive-level employee who is well-qualified to oversee a

comprehensive planning effort.

b. Planning Consultants. Particularly for a large project, it may be advisable to retain a qualified outside consultant to conduct all or a part of the planning effort.

c. Resident Representatives. The residents' organization should be requested to appoint one or more of its members to take responsibility for that organization's planning input.

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d.   Committees of Key Participants. Where an extensive planning effort is required, consideration should be given to use of a planning committee made up of representatives of the four key participants--Management, the residents' organization, the local Police Department,and local social services agencies. Representatives of other community organizations may be included if that promises practical advantages, but the committee should be kept small enough to function as an effective working body. The committee should begin its work after the preliminary estimate is written, and should continue to meet regularly, at least until a comprehensive plan is ready for implementation. If the committee proves valuable, consideration should be given to its continuation after the implementation phase begins, in order to assist Management with ongoing coordination and evaluation.

e.   Legal Counsel. Management's attorney should become involved in the security planning process as early as possible -- ideally, before decisions are made rather than after legal problems arise. The attorney's involvement should ensure that all legal problems are avoided or minimized.