APPENDIX A

Informed Consent Form

Virginia Polytechnic Institute and State University

NATURALISTIC DECISION-MAKING IN LAW ENFORCEMENT – EXPLORING THE PROCESS

2001

This research project focuses on understanding the decision-making/judgment processes for experienced and successful law-enforcement officers. The following information is being provided for you to decide whether you wish to participate in the present study. You should be aware that you are free to decide not to participate or to withdraw at any time.

The purpose of this study is to examine how experienced law enforcement officials make successful decisions and solve problems under operational conditions. Collection of the research data will commence in January 2001, and will continue through May, 2001.

The methods that will be used to collect data consist of individual case studies. The following conditions will be met if you agree to participate in this study:

1) Your true name will not be used at any time during the data collection, or in any written report. A pseudonym will be assigned to each participant.

2) No audio recording will be used or played for any purpose other than this study. Retention of these tapes will be held for a one-year period at which time they will be destroyed.

3) Your participation in this study is voluntary and you may withdraw at any time. If you elect to withdraw, all recorded information on your case will be turned over to you.
4) A final copy of the report will be presented to you for your approval, accuracy of the report, and any comments you may have regarding the research findings.

Providing the above conditions are met:

I agreed to participate in this research effort.

Participant____________________  Date ____________

Researcher____________________  Date ____________

I give my permission to be tape-recorded.

YES_______  No_______
Appendix B

Cases and Sample Narratives

Case #1
(LEO-1)

LEO-1 is a male, 48 years of age with 26 years experience in the law enforcement profession. He has held various investigative positions, both on a state and federal level. Currently, LEO-1 holds a management position with a federal law enforcement agency.

He has worked on a number of investigations that include organized crime, narcotics, white-collar crime and money laundering and has received various awards that reflect exemplary performance in the line of duty. LEO-1 has a Master’s Degree and has completed Doctoral level courses in the field of education and training.
Sample Interview Narrative and Coding Report: LEO-1
R: ok.

I: start with the thing that is most meaningful in this case and move forward. Maybe at the survey point.

R: well, during the briefing, a couple of things stood in my mind. The First thing, I think, was the point that the guy was armed and dangerous and was a "shooter". They also made the point that his associates were also to be considered armed and dangerous. I remember the case agent making the point that the subject was trying to sell his house and I remember seeing a 4 sale sign on the subject's front lawn when doing a drive-by. I had some problems on the way they were planning to execute the search. I thought we had to many guys initially going in, I thought there would be a problem with neighbors and I wasn't convinced that we had enough cover.

I: okay, let's start with the armed and dangerous part. If anybody is to remember anything, I guess this is a good starting point. Tell me a little on your thoughts with the subject being armed and dangerous.

R: this guy had some real problems. He was grabbed for murder and had no problems killing again. The guy was heavily involved in drugs and there's no telling what he or his buddies were capable of doing. So if this guy came back, I figured there was going to be problems, big problems.

I: do you think the surveillance teams would have allowed this guy to get through the perimeter?

R: they let his partner get through the perimeter. All of a sudden, the guy was on us while we were in front.

I: yeah, you're right, but his partner is not him.

R: that's right, but I considered the subject and all his associates armed and dangerous and it didn't make any difference to me who showed up. I knew that if someone did, it would be a problem.

I: I am with you on that. So you didn't concentrate solely on the subject.
I: how did you know the guy saw us in front of the parked vehicle?

R: he had to. It was obvious.

I: it probably was obvious, but you were the only one who responded. It is interesting that everyone stayed put. At what point...

R: when the guy got out of his car, I knew we were in trouble, when he screamed what the hell are you doing here, trouble was brewing? I was really concerned that the subject had a clear view of everyone in the yard and none of us knew what he was doing. If he would've walked all the way to where we were, he would've seen six guys hiding behind a car. We all knew that the guy was a "shooter" and anything could have happen if he approached us. I wanted to get a heads up on him.

I: well you certainly did that. Help me out... for me to better understand the decision you made, it would be helpful to me if we could step through the entire process that ultimately lead you to make that call. I don't know where to begin so it would be helpful to me if you could trace back to the points that helped in your decision.
R: no, there were varying levels of concerned, I guess, if for example, the guy's girlfriend showed up, I wouldn't be too concerned about that, but knowing what this guy was capable of doing, I want to be somewhat in control. I wanted to confine his movement to the front of the house. I didn't want him to walk right up on us and start a confrontation.

I: control, that's nice...

R: the bottom line -- the guy was going to walk right up to us and see six agents squatting down. If that happened, he was the one in control. Before that could happen, I wanted him to know that I was ready for him to approach me and that I had visual contact on him. Before that happened, none of us could see what he was doing, where he was, or his movements. If I was going to get shot, at least I wanted to see what he was doing instead of hiding behind the car. I wanted to control this thing and not him.

I: that is the bottom line. When you stood up, you announce that you were there to look at the house.

R: that's right, the guy asked me what I was doing as he was approaching me and all I could think of was the 4 sale sign in front of the house. So I told him I was waiting for my realtor to show me the house because I was interested in buying it.

I: That was a great call; I was thinking how the hell did you come up with that? Do you think he believed you?

R: absolutely not, it was the best thing I could come up with under the circumstances. It was a little better than having him see us hiding behind the car. I came up with a reasonable answer to every question he had. If you don't act like you have anything to hide and have some answers, people are less likely to suspect anything. To him, I posed no threat.

I: What about when he asked you who are all these other guys with you?

R: The same thing, a reasonable and acceptable answer was they're building and termite inspectors here to check the foundation for termites and to make sure the foundation is ok. To him, it flowed from where I started. For me, I'm thinking what's next?
I: it was great, it made him leave.

R: that's all I wanted to accomplish because I knew that this guy would tell the subject what he saw and I figured that case was blown at that point. Everything typically flows in an operation like this. No problems, no worries. Then all of a sudden you’ve got this guy who confronts you and you better be able to handle it or there is going to be a problem. Somebody is going to get hurt.

I: I think you're absolutely right, but one thing I'm interested in knowing, because this is what I will be writing on, is that you often mention that you "know" and I think it's important for me to understand how it is that you "know" something will happen or what you mean when you say "I knew..."?

R: what do you mean?

I: for example, you mentioned that you knew the guy who pulled into the driveway was going to tell the subject -- how did you know that?

R: commonsense

R: no, I don't think so. It was us situation that went bad. That guy should have never have pulled into the driveway and when he did, the operational plan changed in my mind. I was concerned about what he could do to us and what we could do to him. I wanted to get out of this thing safely for him and us. I was hoping that someone else would do something, but nobody did. I really didn't want to be the one that had to confront this guy, but, I kept waiting for someone else to do it and it never happened. Even if we had to leave through the backyard, something, anything. But we just stayed, hiding, thinking this guy would never come up to us and he would go away. Hell, you knew it was up when he got out of his car. He pulled into the driveway like a mad man. I figured, there is only so much we could do and I did the first thing came to mind.

I: break out for me what you think we could have done. In other words, what were our possibilities?
81: R: they let his partner get through the perimeter. All of
82: a sudden, the guy was on us while we were in front.

97: I want to be somewhat in control. I wanted to confine his
movement to the front of the house. I didn't want him to walk
right up on us and start a confrontation.

100:
101: R: the bottom line -- the guy was going to walk right
102: up to us and see six agents squatting down. If that
103: happened, he was the one in control

126: I came up with a reasonable answer to every question he had.
If you don't act
127: like you have anything to hide and have some answers, people
are less likely to suspect anything. To him, I posed no threat.
128:

139: Everything typically flows in an operation like this. No
problems, no worries. Then all of a sudden you've got this guy who
confronts you and you better be able to handle it or there is going
to be a problem. Somebody is going to get hurt.
Document Coding Report

Node: Prioritize
Passage 1 of 10 Section 0, Para 22, 22 chars.

22: R: yeah, somebody did.

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Passage 3 of 10 Section 0, Paras 54 to 57, 194 chars.

54: The First thing, I think, was the point that
55: the guy was armed and dangerous and was a "shooter". They
56: also made the point that his associates were also to be
57: considered armed and dangerous.

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Passage 4 of 10 Section 0, Paras 71 to 72, 96 chars.

71: R: this guy had some real problems. He was grabbed for
72: murder and had no problems killing again.

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Passage 5 of 10 Section 0, Paras 72 to 74, 108 chars.

72: The guy was
73: heavily involved in drugs and there's no telling what he or
74: his buddies were capable of doing.

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Passage 6 of 10 Section 0, Paras 74 to 76, 83 chars.

74: So if this guy came
75: back, I figured there was going to be problems, big
76: problems.
Document:

Created:
Modified:
Description:

* No Header

Node: Project
Passage 1 of 4  Section 0, Paras 72 to 74, 106 chars.

72: The guy was
73: heavily involved in drugs and there's no telling what he or
74: his buddies were capable of doing.

Passage 2 of 4  Section 0, Paras 74 to 76, 83 chars.

74: So if this guy came
75: back, I figured there was going to be problems, big
76: problems.

Passage 3 of 4  Section 0, Paras 107 to 110, 152 chars.

107: If I was going to get
108: shot, at least I wanted to see what he was doing instead of
109: hiding behind the car. I wanted to control this thing and
110: not him.
22: R: yeah, somebody did.

36: If he would've walked all the way
37: to where we were, he would've seen six guys hiding behind a
car. We all knew that the guy was a "shooter" and anything could
38: have happen if he approached us. I wanted to get a heads
39: up on him.

71: R: this guy had some real problems. He was grabbed for
72: murder and had no problems killing again.

86: that's right, but I considered the subject and all
87: his associates armed and dangerous and it didn't make any
88: difference to me who showed up. I knew that if someone
89: did, it would be a problem.

94: R: no, there were varying levels of concerned, I guess,
95: if for example, the guys girlfriend showed up, I wouldn't
96: be too concerned about that, but knowing what this guy was
97: capable of doing,
105: approach me and that I had visual contact on him. Before
106: that happened, none of us could see what he was doing,
107: where he was, or his movements.

Passage 7 of 8  Section 0, Paras 125 to 126, 69 chars.

125: it was a little better
126: than having him see us hiding behind the car.

Passage 8 of 8  Section 0, Para 139, 241 chars.

139: Everything typically flows in an operation like this. No
problems, no worries. Then all of a sudden you’ve got this guy who
confronts you and you better be able to handle it or there is going
to be a problem. Somebody is going to get hurt.
**Document Coding Report**

**Node:** Situation Awareness

**Passage 1 of 14**  Section 0, Para 15, 53 chars.

15: R: well, everyone hidden behind the car knew that the

**Passage 2 of 14**  Section 0, Paras 16 to 18, 121 chars.

16: uy pulling into the driveway saw six pairs of feet in ront
17: of the car. It seemed a little odd that nobody did
18: anything.

**Passage 3 of 14**  Section 0, Paras 33 to 35, 136 chars.

33: R: when the guy got out of his car, I knew we were in
34: trouble, when he screamed what the hell are you doing
35: here, trouble was brewing?

**Passage 4 of 14**  Section 0, Paras 35 to 36, 120 chars.

35: I was really concerned that the
36: subject had a clear view of everyone in the yard and none of us
knew what he was doing.

**Passage 5 of 14**  Section 0, Paras 53 to 54, 67 chars.

53: R: well, during the briefing, a couple of things stood
54: in my mind.

**Passage 6 of 14**  Section 0, Paras 57 to 60, 178 chars.

57: I remember the case agent
58: making the point that the subject was trying to sell his
59: house and I remember seeing a 4 sale sign on the subject's
60: front lawn when doing a drive-by.

**Passage 7 of 14**  Section 0, Paras 60 to 64, 226 chars.
I had some problems on the way they were planning to execute the search. I thought we had too many guys initially going in, I thought there would be a problem with neighbors and I wasn’t convinced that we had enough cover.

The guy was heavily involved in drugs and there’s no telling what he or his buddies were capable of doing.

R: that’s right, the guy asked me what I was doing as he was approaching me and all I could think of was the sale sign in front of the house. So I told him I was waiting for my realtor to show me the house because I was interested in buying it.

R: absolutely not, it was the best thing I could come up with under the circumstances.

I came up with a reasonable answer to every question he had. If you don’t act like you have anything to hide and have some answers, people are less likely to suspect anything. To him, I posed no threat.

he same thing, a reasonable and acceptable answer was they’re building and termite inspectors here to check the foundation for termites and to make sure the foundation is ok.

Everything typically flows in an operation like this. No problems, no worries. Then all of a sudden you’ve got this guy who confronts you and you better be able to handle it or there is going to be a problem. Somebody is going to get hurt.
Appendix C

Cases and Sample Narratives

Case #2  
(LEO-2)

LEO-2 is a male, 49 years of age with 26 years experience in the law enforcement profession. He has worked on a number of investigations that include organized crime, white-collar crime, narcotics, terrorism, and foreign counter intelligence matters and has also received various awards that reflect exemplary performance in the line of duty.

LEO-2 has a Master's Degree in Education and presently serves in a supervisory capacity with a federal law enforcement agency. LEO-2 has also applied for, and was granted, patent rights for a unique security mechanism that is utilized to provide physical security protection for commercial and residential facilities.
Sample Interview Narrative and Coding Report: LEO-2
R: and we went up a flight of stairs in an attempt to breach the inner perimeter and we found out that there was an electronic strike on the door. I was with a partner that was brand-new. He was brand-new to the business and he wanted to attempt to bypass the mechanism. The security mechanism on the door so, while he was attempting to do that we had a couple of alarm guys in the stairwell hall it was a stairwell of about 30 steps. When we went to the front door walked up to stairwell and straight ahead was one of those receptionist glass windows and immediately to our left was the door that we had to enter. And while he was attempting to bypass the mechanism on the door, I was thinking to myself if he wasn't successful, it would be a matter of just jimmy the door open because it had an electronic strike and I could easily pull out my jackknife and jimmy that door open. I knew the locking system, without knowing the locking system and how it works, there is no need to attempt to defeat it. A little time before hand looking at the security design helps out greatly. Anyway, while he was doing that, the alarm people were preparing themselves so when the door was breached they could handle the alarm system that they knew was on inside the location. They were setting up their equipment. So, while they were setting up their equipment, my partner was trying to pick the lock on the door. He wasn't having any success and the alarm people were saying that they were all set to go. I turn to my partner and I said I better try to jimmy it now. So at this point we felt pretty comfortable, we were in the stairwell for about 10 minutes and we were starting to feel very comfortable inside the location, thinking that we were the only ones in the location. I pulled out my jackknife and started to Jimmy the latch back. I tried for about 30 seconds, I kept scratching at it, scratching at it, and I was thinking to myself that this was one of those doors that couldn't be jimmed. And we would have to either pick the lock or make a key for it somehow. And I was still scratching at it when all of a sudden the bolt on the lock went back. And I thought to myself, I turn to LEO, my partner, and I looked at him, he was kneeling right in front of the door, and I said, that's funny, why did that bolt go back like that? I didn't really succeed in jimmying it. It just went back and I thought it was like somebody activating an electronic strike or something like that. It wasn't, you know, three or four seconds before I actually said that to him, that the door popped open. My foot was about a foot from the door and the door jammed up against my foot. Right then we realized that somebody had been inside and what we didn't realize, we failed to realize, was that it turned out to be an off-duty cop which could have caused us great harm because he was probably carrying his weapon. Anyway, the door popped open and it only popped open about a foot because my foot was right there at the door and LEO was staring right at the guy and the guy basically said what the expletive are you doing here? What are you doing? LEO turned to all of us and he says I don't know, what the expletive are we doing here? With that, you know, we, LEO stood up, and the two alarm guys started running down the steps like we're common criminals, we had been caught. And they dashed down the steps and then LEO dashed down the steps and I still had my hand, I still had my hand, on the doorknob and the door was pushed up against my foot.
I: did LEO continue to kneel or did he get up?

R: LEO stood up and everybody proceeded down the steps. The alarm guys and Dave, and I stood there and I began to force the door shut because I did not want this guy coming out behind us and taking a shot at us. This one was unbelievable, we really screwed up, the guy was right on us and obviously heard some of what we were up to. I reacted right then and I think I surprised him when he had the door pushed in his face and he couldn’t get it back quickly enough. I force the door shut, and I remained there, and I wanted to go down, and I kept looking at those guys running out the door and I wanted to go with them, but I did not hear that latch click and as soon as the latch clicked I knew that he had let go to knob and I made my dash.

I: OK this is kind of important, everybody makes the decision to leave that area, get out of there as quick as possible, and you through some process elect to stay there because it’s a dangerous situation number 1, and number 2, you needed some verification that in your mind the danger level was not as high as you thought it was and now it is appropriate to leave.

I: let me ask you this, you mentioned experience a lot, you mentioned not knowing exactly the process that takes place when you made your decisions. Do you think experience is driving these decisions?

R: I guess that I would have to say it is. I think you would rely on your past experiences, I remember the first time I got caught on one of these here, it was more or less relying on the senior agents to react properly. There is nothing that they can teach you in training, and there is nothing that they ever did to prepare you for these types of the events, I think is very much like, if you are involved in a shooting, there is nothing really they can prepare you for that event. That event actually has to take place and you have learn from that for.

I: so experience engages what, in a shooting, what do you think experience does?

R: I think experience engages your natural ability to take over the situation.

I: instincts

R: instincts, I think that’s a good way to put it, instincts. From your experience you develop instincts on what you should do in one of these stressful situations.
I: did you ever consider that or did you, dead set, focused on this situation, run, shoot me in the back, that's it, did you look at any of the other options or was it so fast breaking that...

R: yeah, it was fast breaking and the only thing I was thinking of is, when you see your partner running, you want to run with him, if one guy does a hop, skip, and jump, as your walking away from the situation the other one wants to walk away too, so that was one of my thoughts that I need to run with them. One thing that scared me about that was the door was still open, he was half way out the door, and that would have given him more time to take aim at us, I thought. So I wanted to make sure it that the door was shut and latched so that he would have to go through the extra steps of opening the door again which would give me enough time to get away from the front door. The danger level would have been greater if we all ran down the steps. If the guy had a weapon, I was thinking, it would have been easier for him to take a couple of shots at us because the door was already open, all he had to do was pulled his weapon.

I: right, you want to clearly stay out of his visibility?

R: clearly stay out of his visibility, that door was a barrier, that door was a barrier and I wanted to keep it between him and me.

I: and you are going to keep that between you and him?

R: between him and I and the bad thing about actually seeing my partner, when the cops did show up he was trying to describe to the police who, what the guy looked like and as a matter of fact, the cop Actually brought the two surveillance guys to the location to see if the guy could identify and he definitely could not. So that was a big plus that he did not see as many of us as he did.
I: OK what your thinking when Dave, when the door opens, what process are you going through now.

R: well now, it's one of those situations where everything is going so slow, it just startles you so much, that you totally unexpected this event to take place, that we were just totally dumbfounded and we just wanted to make sure, I don't know if this actual thought process went through our head, but but, we didn't want to identify ourselves because that would definitely blow the case. You always want to avoid burning the case and if I can do that at the same time as I keep from getting me or someone else hurt, then great.

I: so that the decision you made on scene that you don't want to identify yourself? What do you attribute that to?

R: well, I might attribute that to many years of thinking about what would happen if I get caught, would I run, what I identify myself, because if you identify yourself then the subjects are going to find out that we have an investigation going on against them. The way we left it, they had no idea who we were, what we were doing in there.
R: so, he could not open the door more than a foot. And I was afraid that, you know, if he came out while I was running down the steps he might shoot me in the back. So I stood there out the door and I proceeded to try to close the door with somewhat of a force and I could feel his force against the door and I succeeded in closing the door, but I could still feel his presence behind that door. And I didn't want to leave that door and start running down the steps because then I felt like, there is the possibility, that you know, he could pop the door back open and — me getting shot in the back — only because there was like 30 steps I had to go down to get outside that door. And it wasn't a direct shot out the door, had to make a right hand turn, and then I had to go out the outside door, so I close the door and as soon as I heard the latch on the door click, that's when I took off and I took two giant steps down 30 flights of steps. I crashed into the wall and then I proceeded out the door and we were just running down the street like common criminal. And...
80: With that, you know, we, LEO stood up, and the two alarm guys started running down the steps like we're common criminals, we had been caught.

86: So I stood there out the
door and I proceeded to try to close the door with somewhat of
a
88: force and I could feel his force against the door and I succeeded
89: in closing the door, but I could still feel his presence behind
that door.

90: And it wasn't a direct shot out the door, had to make a
right hand turn, and then I had to go out the outside door, so I
close the door and as soon as I heard the latch on the door click,
that's when I took off and I took two giant steps down 30 flights
of steps.

90: I crashed into the wall and then I proceeded out the door and
we were just running down the street
91: like common criminal. And

113: yeah, now we need to do our job. And...
Passage 6 of 10  Section 0, Para 136, 4 chars.

136: yes

Passage 7 of 10  Section 0, Paras 258 to 259, 105 chars.

258: And he's looking right at the guy,
259: and the guy is saying to him, what the expletive are you doing here?
260: 

Passage 8 of 10  Section 0, Paras 285 to 289, 263 chars.

285: well, I might attribute that to many years of thinking about
286: what would happen if I get caught, would I run, what I identify
287: myself, because if you identify yourself then the subjects are
288: going to find out that we have an investigation going on against
289: them.

Passage 9 of 10  Section 0, Paras 289 to 290, 79 chars.

289: The way we left it, they had no idea who we were, what
290: we were doing in there.

Passage 10 of 10  Section 0, Paras 374 to 377, 216 chars.

374: LEO stood up and everybody proceeded down the steps.
375: The alarm guys and Dave, and I stood there and I began to force
376: to the door shut because I did not want this guy coming out
377: behind us and taking a shot at us.

Node 2 of 42  Ambiguity
Passage 1 of 15  Section 0, Para 7, 65 chars.

7: it going to be a tough case?  Is it going to be an easy one and
8: 

Passage 2 of 15  Section 0, Paras 17 to 22, 348 chars.

17: It was kind of a slow street isolated, and very
18: seldom would a car come down it. It was an industrial type of
19: location and 1:00 in the morning we decided to do the outer
20: perimeter. It was a very isolated business park area, so after
21: business hours we decided to do the outer perimeter, we
22: basically had no problem with the outer perimeter.
23: 

Passage 3 of 15  Section 0, Paras 34 to 37, 204 chars.
57: inner perimeter and we found out that there was an electronic
58: strike on the door.

Passage 4 of 19  Section 0, Paras 61 to 62, 125 chars.

61: while he was attempting to do that we had a couple of alarm
62: guys in the stairwell hall it was a stairwell of about 30 steps.

Passage 5 of 19  Section 0, Paras 63 to 65, 181 chars.

63: When we went to the front door walked up to stairwell and
64: straight ahead was one of those receptionist glass windows and
65: immediately to our left was the door that we had to enter.

Passage 6 of 19  Section 0, Paras 67 to 70, 154 chars.

67: it would
68: be a matter of just jimmy the door open because it had an
69: electronic strike and I could easily pull out my jackknife and
70: jimmy that door open.

Passage 7 of 19  Section 0, Para 70, 175 chars.

70: While he was doing that, the alarm people were preparing
themselves so when the door was breached they could handle the
alarm system that they knew was on inside the location.

Passage 8 of 19  Section 0, Paras 72 to 74, 139 chars.

72: any
73: success and the alarm people were saying that they were all set
74: go. I turn to my partner and I said I better try to jimmy it
now.

Passage 9 of 19  Section 0, Paras 75 to 78, 213 chars.

75: So at this point we felt pretty comfortable, we were in the
76: stairwell for about 10 minutes and we were starting to feel
very
77: comfortable inside the location, thinking that we were the only
78: ones in the location.

Passage 10 of 19  Section 0, Para 80, 68 chars.

80: door, and I said, that's funny, why did that bolt go back like
that?
was
148: unexplainable and I turned to LEO and said boy, that's funny, I
149: can't believe, I couldn't understand why it was going on, why
150: that latch would go back like that.

Passage 2 of 5  Section 0, Paras 156 to 161, 327 chars.
156: right at that point, I did not think anyone was in there, I
157: thought there may have been a situation where is this the type of
158: lock that I never encountered before or did somehow it gets
159: energized by me trying to pick on it, was it an electronic
160: latch where the bolt got energized by me continually trying to
161: play with it.

Passage 3 of 5  Section 0, Paras 161 to 163, 162 chars.
161: It was unexplainable and the first thing that popped
162: into my mind is a lock that I never ran into before and is this
163: common because I never ran into it before?
164: 

Passage 4 of 5  Section 0, Paras 202 to 203, 127 chars.
202: and um shortly after I said said that to Dave, the door popped
203: open. The guy opened the door and it bounced into my foot.
204: 

Passage 5 of 5  Section 0, Paras 274 to 280, 393 chars.
274: well now, it's one of those situations where everything is
275: going so slow, it just startles you so much, that you totally
276: unexpected this event to take place, that we were just totally
277: dumbfounded and we just wanted to make sure, I don't know if
278: this actual thought process went through our head, but but, we
279: didn't want to identify ourselves because that would definitely
280: blow the case.

Node 8 of 42  control
Passage 1 of 27  Section 0, Para 80, 310 chars.
80: My foot was about a foot from the door and the door jammed up
against my foot. Right then we realized that somebody had been
inside and what we didn't realize, we failed to realize, was that
it turned out to be an off-duty cop which could have caused us
great harm because he was probably carrying his weapon.

Passage 2 of 27  Section 0, Para 80, 83 chars.
278: this actual thought process went through our head, but but, we
279: didn't want to identify ourselves because that would definitely
280: blow the case.

**Passage 10 of 27**  Section 0, Paras 285 to 289, 263 chars.

285: well, I might attribute that to many years of thinking about
286: what would happen if I get caught, would I run, what I identify
287: myself, because if you identify yourself then the subjects are
288: going to find out that we have an investigation going on
289: against them.

**Passage 11 of 27**  Section 0, Paras 289 to 290, 79 chars.

289: The way we left it, they had no idea who we were, what
290: we were doing in there.

**Passage 12 of 27**  Section 0, Paras 322 to 329, 518 chars.

322: after the conversation ensues, the thing that is going through
323: my mind and I'm sure what was going to their mind and my
324: partners on the job was we didn't see a gun, but that's not to
325: say he didn't have one, and we didn't know he was cop, an off-duty
326: cop at the time, but, the thing that was going through my mind
327: is now the danger aspect of the whole thing, here it we are either
328: going to have to confront the guy. OK so we either we had two
329: choices at that time, we can confront the guy and blow that
330: case.

**Passage 13 of 27**  Section 0, Paras 377 to 380, 279 chars.

377: I force the door shut, and
378: I remained there, and I wanted to go down, and I kept looking
379: at those guys running out the door and I wanted to go with them,
380: but I did not hear that latch click and as soon as the latch
381: clicked I knew that he had let go to knob and I made my dash.

**Passage 14 of 27**  Section 0, Paras 389 to 391, 137 chars.

389: yeah, I thought the danger level would be greater if we all, if
390: I had left the door open and we all ran down the steps. So I
391: thought,
I think you would rely on your past experiences, I remember the first time I got caught on one of these here, it was more or less relying on the senior agents to react properly.

Node 9 of 42 danger
Passage 1 of 2 Section 0, Para 80, 83 chars.

80: turned to all of us and he says I don't know, what the expletive are we doing here?

Node 10 of 42 decision
Passage 1 of 16 Section 0, Para 74, 61 chars.

74: I turn to my partner and I said I better try to jimmy it now.

Passage 2 of 16 Section 0, Para 80, 140 chars.

80: With that, you know, we, LEO stood up, and the two alarm guys started running down the steps like we're common criminals, we had been caught

Passage 3 of 16 Section 0, Para 80, 170 chars.

80: And they dashed down the steps and then LEO dashed down the steps and I still had my hand, I still had my hand, on the doorknob and the door was pushed up against my foot

Passage 4 of 16 Section 0, Paras 90 to 91, 126 chars.

90: I crashed into the wall and then I proceeded out the door and we were just running down the street
91: like common criminal. And

Passage 5 of 16 Section 0, Para 113, 40 chars.

113: : yeah, now we need to do our job. And...

Passage 6 of 16 Section 0, Paras 117 to 118, 75 chars.

117: R: at the point when the alarm guys decided that they were ready
377: I force the door shut, and
378: I remained there, and I wanted to go down, and I kept looking at
379: those guys running out the door and I wanted to go with them,
380: but I did not hear that latch click and as soon as the latch clicked I knew that he had let go to knob and I made my dash.

Passage 14 of 16  Section 0, Paras 389 to 391, 137 chars.

389: yeah, I thought the danger level would be greater if we all, if
390: I had left the door open and we all ran down the steps. So I
391: thought,

Passage 15 of 16  Section 0, Para 559, 130 chars.

559: clearly stay out of his visibility, that door was a barrier, that door was a barrier and I wanted to keep it between him and me.

Passage 16 of 16  Section 0, Paras 574 to 575, 113 chars.

574: that was it. For whatever reason, you know, a lot of reasons, 575: not to jeopardize the case, for our own safety,

576:

Node 11 of 42  difficulty
Passage 1 of 1  Section 0, Paras 78 to 80, 227 chars.

78: I pulled out my jackknife and started to
79: Jimmy the latch back. I tried for about 30 seconds, I kept
80: scratching at it, scratching at it, and I was thinking to myself that this was one of those doors that couldn't be jimmied.

Node 12 of 42  Expectation
Passage 1 of 4  Section 0, Para 6, 56 chars.

6: rmally before we do these cases, we have a mindset, is
7:

Passage 2 of 4  Section 0, Paras 27 to 30, 153 chars.

27:
28: R: right, basically it was a very dead night and in order to do our
29: job we were going to breach the perimeter of the establishment,
30: with no problems.
361: And that was my greatest fear what everyone 362: was starting to run, that going down the steps he could possibly 363: shot us in the back.

Passage 5 of 24  Section 0, Para 370, 8 chars.

370: exactly

Passage 6 of 24  Section 0, Paras 410 to 412, 149 chars.

410: yeah, exactly, that is what I'm focusing in on only because 411: there wasn't an option to back out because the door was right at 412: the top of the steps.

Passage 7 of 24  Section 0, Para 417, 87 chars.

417: way out the door, and that would have given him more time to take aim at us, I thought.

Passage 8 of 24  Section 0, Para 417, 70 chars.

417: The danger level would have been greater if we all ran down the steps.

Passage 9 of 24  Section 0, Paras 438 to 440, 108 chars.

438: I think it might have 439: been a gut reaction from experience make sure that door is 440: latched before I takeoff.

Passage 10 of 24  Section 0, Paras 463 to 465, 138 chars.

463: they did identify themselves, they got around the situation 464: through experience, they were on a situation that was totally 465: unassociated.

Passage 11 of 24  Section 0, Para 469, 21 chars.

469: top 10, one of those

Passage 12 of 24  Section 0, Paras 512 to 517, 329 chars.

512: well, I think the more you speak, depending on the individual 513: you're speaking to, he, especially a cop, I didn't know he was a 514: cop at the time, but, a security guard, so we really didn't
remember the first time I got caught on one of these here, it was more or less relying on the senior agents to react properly.

R: yeah, now I am the senior agent, and you never want to go around thinking you are the expert because I could never talk to the class of younger agents on the proper way of doing things.

I think the only thing I can probably do is show them and tell them all my experiences so they can learn from that.

I guess that I would have to say it is. I think you would rely on your past experiences, I remember the first time I got caught on one of these here, it was more or less relying on the senior agents to react properly. There is nothing that they can teach you in training, and there is nothing that they ever did to prepare you for these types of the events, I think is very much like, if you are involved in a shooting, there is nothing really they can prepare you for that event.

That event actually has to take place and you have learn from that for.

I think experience engages your natural ability to take over the situation.

yes, now subconsciously, he put yourself through so many of the scenarios before they happened is that subconsciously if we would have seen a gun and thought our life was in imminent danger, we would have definitely shouted police or FBI,
129: R: I would've let LEO keep picking as long as he needed to
130: because there was no ego thing here, where I needed to do it, it
131: was one of these things that he needed to learn and I was going
132: to give him as much time as he needed to get through that door.

Node 16 of 42 Preparation
Passage 1 of 6 Section 0, Para 80, 230 chars.

80: Right then we realized that somebody had been inside and what we didn't realize, we failed to realize, was that it turned out to be an off-duty cop which could have caused us great harm because he was probably carrying his weapon.

Passage 2 of 6 Section 0, Para 280, 140 chars.

280: You always want to avoid burning the case and if I can do that at the same time as I keep from getting me or someone else hurt, then great.

Passage 3 of 6 Section 0, Paras 285 to 290, 346 chars.

285: R: well, I might attribute that to many years of thinking about 286: what would happen if I get caught, would I run, what I identify 287: myself, because if you identify yourself then the subjects are 288: going to find out that we have an investigation going on against 289: them. The way we left it, they had no idea who we were, what 290: we were doing in there.

Passage 4 of 6 Section 0, Paras 414 to 417, 1131 chars.

414: I: did you ever consider that or did you, dead set, focused on 415: this situation, run, shoot me in the back, that's it, did you look at any of the other options or was it so fast breaking that...
416: 
417: R: yeah, it was fast breaking and the only thing I was thinking of is, when you see your partner running, you want to run with him, if one guy does a hop, skip, and jump, as your walking away from the situation the other one wants to walk away too, so that was one of my thoughts that I need to run with them. One thing that scared me about that was the door was still open, he was half way out the door, and that would have given him more time to take aim at us, I thought. So I wanted to make sure it that the door was shut and latched so that he would have to go through the extra steps of opening the door again which would give me enough time to get away
from the front door. The danger level would have been greater if we all ran down the steps. If the guy had a weapon, I was thinking, it would have been easier for him to take a couple of shots at us because the door was already open, all he had to do was pulled his weapon.

Passage 5 of 6  Section 0, Para 559, 126 chars.

559: clearly stay out of his visibility, that door was a barrier, that door was a barrier and I wanted to keep it between him and

Passage 6 of 6  Section 0, Paras 628 to 629, 558 chars.

628:
629: R: I guess that I would have to say it is. I think you would rely on your past experiences, I remember the first time I got caught on one of these here, it was more or less relying on the senior agents to react properly. There is nothing that they can teach you in training, and there is nothing that they ever did to prepare you for these types of the events, I think is very much like, if you are involved in a shooting, there is nothing really they can prepare you for that event. That event actually has to take place and you have learn from that for.

630:

Node 17 of 42  pressure
Passage 1 of 3  Section 0, Para 80, 83 chars.

80: turned to all of us and he says I don't know, what the expletive are we doing here?

Passage 2 of 3  Section 0, Paras 232 to 235, 240 chars.

232: I guess I was trying to understand what just happened with 233: the lock. I knew my next move was not to budge that door 234: because if there was an alarm contact on the door I was not 235: giving the alarm guys enough time to do their job properly.

Passage 3 of 3  Section 0, Paras 452 to 456, 269 chars.

452: no, as a matter of fact, once we came out the door we were 453: on our own, we were running down the street and once that 454: happened, the alarm guys on the outside the building had 455: unblocked the alarm lines and the guy was able to call out and 456: the cops were on their way.
from the front door. The danger level would have been greater if we all ran down the steps. If the guy had a weapon, I was thinking, it would have been easier for him to take a couple of shots at us because the door was already open, all he had to do was pulled his weapon.

**Passage 5 of 6** Section 0, Para 559, 126 chars.

559: clearly stay out of his visibility, that door was a barrier, that door was a barrier and I wanted to keep it between him and

**Passage 6 of 6** Section 0, Paras 628 to 629, 558 chars.

628:
629: R: I guess that I would have to say it is. I think you would rely on your past experiences, I remember the first time I got caught on one of these here, it was more or less relying on the senior agents to react properly. There is nothing that they can teach you in training, and there is nothing that they ever did to prepare you for these types of the events, I think is very much like, if you are involved in a shooting, there is nothing really they can prepare you for that event. That event actually has to take place and you have learn from that for.

630:

**Node 17 of 42** pressure

**Passage 1 of 3** Section 0, Para 80, 83 chars.

80: turned to all of us and he says I don't know, what the expletive are we doing here?

**Passage 2 of 3** Section 0, Paras 232 to 235, 240 chars.

232: I guess I was trying to understand what just happened with 233: the lock. I knew my next move was not to budge that door 234: because if there was an alarm contact on the door I was not 235: giving the alarm guys enough time to do their job properly.

**Passage 3 of 3** Section 0, Paras 452 to 456, 269 chars.

452: no, as a matter of fact, once we came out the door we were 453: on our own, we were running down the street and once that 454: happened, the alarm guys on the outside the building had 455: unblocked the alarm lines and the guy was able to call out and 456: the cops were on their way.
Appendix D

Cases and Sample Narratives

Case #3
(LEO-3)

LEO-3 is a male, 52 years of age with 27 years experience in the law enforcement profession. Prior to receiving an appointment with a federal law enforcement agency, LEO-3 was an instructor for a state police academy and has assisted with the design and implementation of training curriculum for state and local law enforcement departments.

He has worked on a number of investigations that has spanned across local, state, federal, and international jurisdictions and has received numerous awards for exceptional performance in the line of duty. LEO-3 has a Master's Degree in Human Resource Management, served in the Marine Corp, and presently holds a senior executive position with a federal law enforcement agency.
Sample Interview Narrative: LEO-3

(Redaction of narratives to preserve any sensitive information - coding report not provided for LEO-3 due to sensitive nature of report)
I: And they told you about the information?


I: OK so, basically getting the hostages back while apprehending the bad guys.

R absolutely, and I think that's what they were anticipating. Give us the [REDACTED] out there to help us do this because we know the [REDACTED] is out there and we appreciate the assistance.

I: and you didn't do that because you were trying to search for more information to put a viable, credible
R: we had to establish a strategy here, make no mistakes about it was first to get the return of the victims back safely. When you look at that is the bottom line, what we were concerned about group, have they in fact harmed any other victims in the past and if they were to find anything that we may have sent in there, could that have lit the fuse to cause them to cause additional harm to the victims? Based on the questions that we forwarded down to them, one of the Now we knew that these folks and that would definitely Remember, a big element for us was

I: OK, so you did an assessment on the group. The group, I take it identified themselves upfront, so there was the recognition of this group within that country?

R yes, that’s correct.

I: so you actively went out

R that’s correct.

I: then the information comes into you. You start building your strategy based on the information you know. What is the next thing you start doing? Did you start

R no, first we wanted to find out, once we found out about this concerned about that. Once we got the on their capabilities or at least what they have demonstrated in the past from intelligence from the foreign law enforcement agency, we had

In other words, was it going to be in a city area, was going to be in a jungle area, what was the area the
I: these were all questions that you, you make the statement that we, when you say we you really mean you, you were really doing all of that.

R right

I: and you would assign people to do it or would you make phone calls and ask these questions, ____________

R well, this was all conducted at my headquarters and I had forwarded, because I wasn't talking directly to the foreign law enforcement agency, so I directed these questions through a representative to have them answered and come back to me. They were looking to me to evaluate the viability of it.

__________

no telling

All I know is that those others have to be able to get some

on a regular basis to get

there was an opportunity

So it had very little

percentage of being helpful to us, but in my mind a very high risk

and causing them to a little

I: so you selected the option not to send anything down there?

R that's correct, I chose the option not to, I advised, 

I: and the final outcome was that they were released.
definitely a consideration we had to have because there was a
deadline for us to get this stuff there. You have to remember,
kidnappers ultimate aim is that ransom.

I: right

R and based on that deadline, [redacted] something that may have
worked requiring [redacted] it worthwhile and
worked, it wouldn't have
done any good. And once again, the potential of them [redacted]
would've been a little percentage of us doing that. [redacted]
to do certain things I wanted.

I: okay, one other thing, when you're constructing your options
that are coming in by soliciting information from out in the world,
and information starts coming in and you start constructing these
options, do you put some of them in action immediately to see what
the result is and then reassess your options based on the action
just happened. In other words you get information back from the
[redacted] it that open up
certain options for you. Those options now produce some form of
action on your part, [redacted] together, should I detail people or should I start
[redacted]
Once you these things in motion these actions, do you
now evaluate and reassess and modify as you go?

R: actually, in this case we did. [redacted] when I told you we were down to just a couple of options,

I: the safety of the guys, of these people foremost, and anything
that would be sent could jeopardize their safety.

R that's correct, and if any way in my mind I could feel that
anything we would have sent would have given us a better chance of
getting to those bad guys, even while they still had the victims, I
would have opted for it. [redacted] Sometimes you just have
because the safety of the hostages is paramount. You can always
[redacted] is a hard lesson to learn and
unfortunately, at times, comes at a high price.

I: okay, do you mind if I transcribed this and possibly come back
with additional questions. Some of the issues that may seem
confusing maybe we could readress them.
MICHAEI T. UT.ARIO

EDUCATION

1971-1975 BA Psychology/Sociology
St. John Fisher College
Rochester, New York

1990-1993 M.E.D. Social Foundations University of Virginia
Charlottesville, Virginia

1996-2002 Ph.D. Human Development
Virginia Tech University
Blacksburg, Virginia

PROFESSIONAL EXPERIENCE

1975-1976 Investigator
State of New York
Rochester, New York

- Emphasis on investigations that related to the collection of non-payment for child support.

1976-1977 Support Employee
Federal Bureau of Investigation
Washington, D.C.

1977-1983 Special Agent
Federal Bureau of Investigation
New Haven, Connecticut

- Narcotic/Organized Crimes Investigations.

1981-1982 Special Agent
Federal Bureau of Investigation
Kansas City, Missouri

- Narcotics/Infiltration of Organized Crime organizations.
1982-1985  *Special Agent*  
Federal Bureau of Investigation  
New York, New York  

- Support all FBI investigations in the New York Office that required special technical assistance.

1985-1996 *Supervisory Special Agent*  
Federal Bureau of Investigation  
Quantico, Virginia  

- Support all FBI investigations worldwide that require special technical assistance. Provide training to field agents on operations that require technical support.

1996-Present *Assistant Section Chief - Special Agent*  
Federal Bureau of Investigation  
Quantico, Virginia  

- Initiate programs that support investigations requiring specialized technical assistance. Organizations that are supported include the FBI, DEA, U.S. Customs, Immigration and Naturalization, and various state and local police agencies. Design and implement training programs. Provide training to foreign law enforcement/intelligence organizations.

**ADDITIONAL PROFESSIONAL ACTIVITIES**

Design and deliver training programs for various agencies under the jurisdiction of the United States Department of Justice. Also designed and delivered training programs for police and intelligence organizations in the following countries:

- Royal Canadian Mounted Police
Canadian Security Intelligence Service
Ottawa, Canada

- New Zealand Intelligence Agency
  Wellington, New Zealand

- New South Wales Police Department
  Australian Service Intelligence Organization
  Canberra, Australia

- British Secret Service
  London, England

- Amsterdam Police Department
  Amsterdam, Netherlands

LANGUAGES

Italian/Sicilian

AWARDS

Over 100 letters of commendation from Director, FBI; Directors from various foreign law enforcement/intelligence organizations; Officials from the Department of Justice; Administrators from State and local police departments.