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**THE IMPACT OF OPERATING A RETURN  
TO CUSTODY FACILITY ON SMALL POLICE  
DEPARTMENTS BY THE YEAR 2001**

by

**BERT H. GARZELLI**

**COMMAND COLLEGE CLASS 12**

**PEACE OFFICER STANDARDS AND TRAINING (POST)**

**SACRAMENTO, CALIFORNIA**

**JULY - 1991**

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**This Command College Independent Study Project is a FUTURES study of a particular emerging issue in law enforcement. Its purpose is NOT to predict the future, but rather to project a number of possible scenarios for strategic planning consideration.**

**Defining the future differs from analyzing the past because the future has not yet happened. In this project, useful alternatives have been formulated systematically so that the planner can respond to a range of possible future environments.**

**Managing the future means influencing the future--creating it, constraining it, adapting to it. A futures study points the way.**

**The views and conclusions expressed in this Command College project are those of the author and are not necessarily those of the Commission on Peace Officer Standards and Training (POST).**

## **INTRODUCTION**

BACKGROUND DATA ON THE ISSUE AND AN EXPLANATION AS TO THE SCOPE OF THE STUDY.

### **PART ONE - DEFINING THE FUTURE**

WHAT IMPACT WILL OPERATING A RETURN TO CUSTODY FACILITY HAVE ON SMALL POLICE DEPARTMENTS BY THE YEAR 2001?

### **PART TWO - STRATEGIC PLANNING**

A MODEL PLAN FOR A SMALL POLICE DEPARTMENT OPERATING A RETURN TO CUSTODY FACILITY.

### **PART THREE - TRANSITION MANAGEMENT**

A DESCRIPTION OF A MANAGEMENT STRUCTURE AND COMMITMENT PLAN FOR A SMALL POLICE DEPARTMENT MAKING A TRANSITION FROM PROVIDING ONLY POLICE SERVICES TO PROVIDING BOTH POLICE SERVICES AND OPERATING A RETURN TO CUSTODY FACILITY.

### **CONCLUSIONS, RECOMMENDATIONS, AND FUTURE IMPLICATIONS**

RESTATEMENT OF THE ISSUE WITH COMMENTARY AS TO SPECIFIC RECOMMENDATIONS AND AN ASSESSMENT OF FUTURE IMPLICATIONS.

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Executive Summary

PART ONE - DEFINING THE FUTURE

This study examines the impact of operating return to custody (RTC) facilities by small police departments with 50 or less sworn police officers. In 1988, Senate Bill 1591 was passed authorizing the Director of the California Department of Corrections to enter into long term contracts with cities or counties to operate return to custody facilities for housing parole violators and state inmates. Since the passage of this bill, six small cities have contracted with the state to operate RTC's and several other small cities are on file for future consideration. As the operation of RTC's by small police departments is such a new concept, it is unknown what the impact will be on those police departments in terms of organizational structure, personnel recruitment and retention, and becoming a profit center for their cities.

A panel of nine persons was brought together to help study this issue. The nominal group technique (NGT) was employed to develop data for the study.

Current trends and possible future events were identified, evaluated and forecast by the panel to provide a data base for the study and the development of three future scenarios. The key trends identified were inmate population, parole violators returned to custody and cost of housing inmates to the State of California. The three possible future events having the greatest impact on the issue were, state mandated use of "electronic jails" the State of California increasing the number of correctional officers by 30%, and the decriminalization of the use of drugs. The most desirable future scenario was then used for developing a strategic plan and a transition management plan for a small police department operating an RTC.

## PART TWO - STRATEGIC PLANNING

The Lindsay Police Department was used as the model agency for developing a strategic plan. An analysis of the City of Lindsay and the Lindsay Police Department was conducted to determine the strengths, weaknesses, threats and opportunities which would impact the issue. Policies were then developed which, if implemented, would help to bring about the desired future state. The developed policies were:

1. The Chief of Police shall create a corrections division within the police department administered by a civilian employee with at least three years of experience in managing a correctional facility at the rank of lieutenant or higher.
2. The City of Lindsay shall compensate correctional officers and police officers at a rate comparable to entry level state

correctional officer employees. RTC supervisory positions shall be filled initially by existing police personnel, however, future supervisory vacancies will be filled competitively and include correctional officers in the process.

3. Fifty percent of the annual profits realized from the operation of the RTC shall be held in reserve for the first five years. Of the remaining 50%, the police department shall be limited to receiving 40% with the remaining 60% to be used to fund other city projects.
4. Public safety shall be the primary focus of the police department. Police activities shall be kept separate and apart from the operation of the RTC.

An implementation plan was then developed using the above policies. The implementation plan addresses action steps, resource requirements, and the establishment of time lines. This section of the study concludes with an overview of the negotiating strategies to be employed to gain the acceptance of the policies by key stakeholders.

### PART THREE-TRANSITION MANAGEMENT

This section of the study examines the critical mass whose support is needed to make the change happen. The current level of commitment of the critical mass actors was assessed and a determination made as to the desired level of commitment. Strategies were then developed to move critical mass actors to the desired level of commitment.

A transition management structure was developed for the model agency which best supports the implementation of the developed strategic plan. The transition management team is identified and specific job assignments designated for each along with time lines for completion and/or implementation of specific tasks. Finally, a review of the

supporting technologies to be employed by the transition management team was presented.

## CONCLUSION

This study showed that a properly managed RTC can be a valuable source of revenue for a small city without having a negative impact on the small police department charged with its administration. However, if the chief of police of a small police department fails to develop a strategic plan, win the support of key players, and put into place a plan for managing the transition state, the chief may find that the RTC will fail to realize its full potential as a source of revenue and that the police department will be negatively impacted.

## TABLE OF CONTENTS

Illustrations	i
Introduction	1
PART ONE - DEFINING THE FUTURE	
"What Impact Will Operating a Return To Custody Facility Have on Small Police Departments by the Year 2001?"	5
The Issue	5
Methodology	7
The Literature	8
Interviews	8
The Forecasting Process	13
Trend Screening	13
Event Screening	14
Trend Forecasting	15
Event Forecasting	19
Cross-Impact Analysis	22
Future Scenarios	24
Exploratory "Most Likely"	24
Normative "Desired and Attainable"	26
Hypothetical "What If"	28
PART TWO - STRATEGIC PLANNING	
"Developing a Strategic Plan for the Operation of a Return to Custody Facility by a Small Police Department"	31
The Setting/Model	31
Strategic Plan Development (Identification of Components)	32
Selected Scenario	33
Mission Statement	33
Situational Analysis (WOTS/UP)	35
Stakeholder Analysis	41
Strategic Assumption Surfacing Technique	41
Stakeholder Positions/Assumptions	42
Modified Policy Delphi	47
Policy Descriptions	48
Stakeholder Positions	51



## TABLE OF CONTENTS (continued)

Implementation Strategy	52
Negotiating Acceptance of Strategy	54
Negotiation Strategy for Key Stakeholders	55
 PART THREE - TRANSITION MANAGEMENT	 58
Identification of Components	58
Identification of Critical Mass	58
Commitment Charting	59
Developing a Transition Management Structure	62
Technologies/Methods to Support Implementation	64
Signs of Unmanaged Change	64
Communication of the Vision	66
Team Building	66
Rumor Control	66
Responsibility Charting	66
Evaluation and feedback	67
Milestone Recognition	67
Summary	67
 Conclusions, Recommendations and Future Implications	 68
Conclusions	68
Recommendations	71
Future Study	73
 APPENDIXES	 
Appendix A - Futures Wheel	74
Appendix B - RTC Administrators and Managers Interviewed for Study	75
Appendix C - NGT Panel Members	76
Appendix D - Candidate Trends	77
Appendix E - Trend Screening Form	78
Appendix F - Candidate Events	79
Appendix G - Trend Forecast Graphs	80
Appendix H - Event Forecast Graphs	81

## TABLE OF CONTENTS (continued)

Appendix I -	Capability/Readiness For Change	83
Appendix J -	Assumption Map	84
Appendix K -	Modified Policy Delphi Panel	85
Appendix L -	Negotiating Leverages and Strategies	86
Appendix M -	Responsibility Chart	88
END NOTES		89
BIBLIOGRAPHY		91

## ILLUSTRATIONS

### TABLES

1.	Trend Evaluation	16
2.	Event Evaluation	20
3.	Cross-Impact Evaluation	23

### CHARTS

1.	Stakeholder Positions	51
2.	Commitment Chart	59

## INTRODUCTION

In 1987, California Senate Bill No. 1591 was passed. The bill authorized the Director of Corrections to enter into long term agreements not to exceed twenty years with a city, county, or city and county, to place parole violators in a facility which is specifically designed and built for the incarceration of parole violators and state prison inmates.

The purpose of the aforementioned bill as it pertains to the incarceration of parole violators and state prison inmates is two fold: first, to ease the overcrowding of state correctional facilities and the cost of housing inmates; and second, to provide a new source of revenue to cities and counties.

To date, six small cities have entered into contractual agreements with the State of California Department of Corrections to operate return to custody (RTC) facilities. RTC's are generally designed to house between 400 - 500 inmates whose average stay is between 30 and 90 days, with a maximum stay of one year.

In fiscal year 1989 - 1990, a total of 3,000 beds were authorized for funding under Senate Bill No. 1591. The State of California projected that during fiscal year 1991 - 1992 up to 10,000 additional beds would be funded to be operated by cities and counties. However, due to the state's financial problems, these beds have not to date been authorized for funding. Still, the California Department of Corrections anticipates that these beds will be funded within the next two to three years. In its final

report dated January 1990, the Blue Ribbon Commission on Inmate Population Management recommended that the number of return to custody facilities being operated by cities and counties be significantly increased to ease overcrowding of the state's prisons. According to the California Department of Corrections, there are presently twenty-two letters of interest on file from cities wishing to enter into agreements to develop and operate return to custody facilities.

Upon entering into an agreement with the State to operate an RTC, the contracting city becomes responsible for providing housing, supervision, sustenance, and pre-release programs for inmates. Pre-release programs include drug and alcohol counseling, family counseling, vocational evaluation and training, and educational training. Vocational training generally includes computer operations, auto repair, horticulture, and cooking classes. A major emphasis is placed on preparing those inmates who do not have a high school diploma to successfully pass a general education equivalency diploma test prior to release.

Of the six small cities which are presently operating RTC's three have opted to have their police departments operate them while the other three have created a special department of corrections to operate their RTC. The population of these cities ranges between a low of 6,600 and a high of 22,000. Anticipated revenues from the operation of these RTC's range between a low estimate of \$200,000 and a high estimate of \$750,000. Police chiefs who are administering the operation of their city's RTC estimate revenues to be in excess of \$500,000 per year while civilians who were hired to operate their cities RTC estimate revenues to be \$300,000 per year or less.

Given the fact that the State of California will be entering into contracts with at least 20 more cities and/or counties to operate RTC's in the very near future and the fact that there are substantial revenues to be

realized by cities operating RTC's, it is clear that more small police departments will be operating return to custody facilities in future years.

The focus of this study is on what the impact of operating a return to custody facility will be on small police departments. The concept of having a small police department enter into the business of operating a correctional facility is very new. In fact, when this study was first begun, none of the six city-run RTC's were operational. Today, all six are operational and housing inmates. However, no police department has been operating an RTC for a long enough period of time to assess the impact of operating an RTC on a small police department.

The first part of this paper concerns defining the future. A brief overview of the issue is presented for background purposes and then a number of current trends and possible future events are analyzed as to their impact on the issue question. This analysis was conducted by a group of individuals who were brought together specifically to assist in this study.

This part of the study was concluded with the development of three possible future scenarios. One scenario was written as though every possible negative impact of the possible future events occurred. This is the worst case, or "what if" scenario. Another scenario was written where intervening policies were put into place to bring about the desired future. And, another was written where no policies were put into place and the organization just went along as usual.

In Part Two of the study, a strategic plan was developed to bring about the future state described in the selected scenario. The Lindsay Police Department is used as a model agency; however, the strategic plan is written as generic as possible to any small police department.

In developing the Strategic Plan, key stakeholders who are impacted by the change are identified and analyzed to insure their concerns are addressed. Four policies are developed which will help to bring about the desired future. Part Two concludes with a discussion of the negotiation strategies which may be employed to gain the support of the key stakeholders.

Part Three of the study addresses the transition stage of the strategic plan. Stakeholders are narrowed to those groups or individuals who are most important to affecting the change. This group, the critical mass, is analyzed as to the desired level of commitment needed from them, and negotiating strategies are developed to achieve that level of commitment. Finally, a transition management structure and technologies and methods to support implementation are presented.

The final phase of the study consists of conclusions, recommendations and future implications. The conclusions review the key points of the study. The issue and sub-issue questions are answered and recommendations presented. Finally, other issues which warrant future research are listed.

# **PART ONE**

## **DEFINING THE FUTURE**



## **WHAT IMPACT WILL OPERATING A RETURN TO CUSTODY FACILITY HAVE ON SMALL POLICE DEPARTMENTS BY THE YEAR 2001?**

### **OVERVIEW**

Part one of this study is devoted to defining the future. While it may seem impossible to determine what the future will look like, it is really a simple and logical process, one we use day-to-day without even realizing it. First the issue and sub-issues which are to be the focus of this study will be clarified. Then an assessment will be made of where we are today, where we may be going, and where we would like to be when we get there.

### **THE ISSUE**

Many, if not all, of the small police departments in the State of California are facing very difficult financial times. Small cities are finding that they simply do not have the resources to adequately staff and equip police departments. For years now, there has been a growing crisis in local government. Traditional sources of revenue are either unpredictable or are disappearing altogether.<sup>1</sup> To alleviate this problem, cities and their law enforcement executives are constantly seeking new sources of revenue. One source which is gaining interest throughout the State of California is the development and operation of return to custody (RTC) correctional facilities by small police departments through contracting with the State of California, Department of Corrections.

A return to custody correction center is a facility designed for the purpose of housing parolees being returned to state correctional custody for violating the conditions of their parole. RTC's are operated either by

the State of California, a county, city or private company. Counties, cities, and private companies operate RTC's under a contract with the State of California for a period of time, generally 20 years. Parolees are housed in RTC's for a period of three to six months, on average, but can be housed for up to one year.

Within the past two years, four small cities and two counties have developed and are now operating return to custody centers in the tri-county area of Kern, Kings, and Tulare County. All of these RTC's are within 100 miles of each other.

The issue question addressed in this paper is: What will the impact of operating an RTC be on small police departments by the year 2001? I have elected to study this issue due to the fact that my city, the City of Lindsay, is also searching for new sources of revenue, and is presently exploring the possibility of contracting with the State of California to operate an RTC. In order to keep the study focused, sub-issues were developed through the use of a futures wheel (Appendix A). The futures wheel is a technique used to brainstorm an issue question in order to identify sub-issues and other areas that may be impacted by, or have an impact on, the issue question.

The following sub-issues were selected for study:

1. What changes will be made in the organizational structure of small police departments operating an RTC?
2. What will the impact of operating an RTC be on the retention of personnel?
3. Should the police department become a major revenue generating source to the city through the operation of an RTC, what will be the impact?

There are many other issues which could be addressed in this study. Some are commented on in the strategic planning or transition management sections of this research project. However, this study is limited in scope and only those sub-issues which were deemed to be most important are to be studied.

Through this research project, the reader will be taken into the future to see what impact the operation of an RTC could have on a police department by the year 2001. Also presented is a step by step plan to follow in order to get to that future state which is most desirable.

### **METHODOLOGY**

The research of the issue consisted of a search of the existing literature, interviews of persons involved in the development and operation of return to custody facilities (Appendix B) the use of a panel of experts from various fields of study to identify current trends and possible future events impacting the issue, the forecasting of those trends and events by the panel, and a cross-impact analysis of the identified trends and events.

After the data is gathered and interpreted, three possible future scenarios are developed: an exploratory or "most likely" scenario, a normative or "desired and attainable" scenario, and a hypothetical or "what if" scenario. All of the scenarios are written based on the data generated and the author's imagination. Scenarios are written from a future perspective looking back in time. One of the scenarios will be used in the strategic planning and transition management sections of this study.

## LITERATURE SEARCH AND INTERVIEWS

Early on in the literature research it became clear that there was very little literature available dealing specifically with return to custody facilities being operated by small cities. It was not until the passage of Senate Bill 1591 in September of 1987 and its adoption in January, 1988, that local governments were authorized to enter into contracts with the State of California to operate return to custody centers. Since the bill was enacted, only six cities and five counties have developed and are presently operating return to custody facilities.

One of the most comprehensive treatments of the issue was authored by Chief Raymond M. Scharteau of the Delano, California Police Department. Chief Scharteau addressed the issue question in his Command College paper titled "The Future for Small Agencies Operating Contract Return to Custody Prisons by the year 2000?"

As the literature pertaining to the specific issue area was very limited, the literature search focused on two areas: First, the need for return to custody facilities, and second, the rationale for contracting with cities and/or counties to operate return to custody facilities.

The literature search was begun by contacting the State of California Department of Corrections (CDC) and requesting available data pertaining to the current and projected number of parole violators returned to custody each year, and the average time of incarceration for parolees returned to custody. Also requested was the available data on return to custody facilities being operated by public entities. The National Institute of Justice was then contacted and a request made for the available literature pertaining to the privatization of correctional facilities. Also, a number of professional and trade journals were reviewed which contained articles pertaining to the operation of

correctional facilities, inmate populations, both current and projected, and the number of parolees returned to custody in recent years.

The literature review revealed that the State of California is experiencing a severe overcrowding of its prison facilities. In the September issue of Correction News, it was reported that "California's prison overcrowding is the most severe in the nation and nearing the highest level in state history."<sup>2</sup> According to James Rowland, former California Department of Corrections Director, "Virtually every prison system is facing a shortage of space with this massive overcrowding ... inmates are being crammed into areas never designed for housing."<sup>3</sup>

The state's prison population is 135% of capacity and it is projected that by the year 1995, inmate population will reach 185% of capacity.<sup>4</sup> According to CDC staff analysts, "the 1995 prison population will likely top 153,370."<sup>5</sup> It is reported that "of the 87,297 inmates incarcerated in the State prison system on December 31, 1989, 30,247 were parolees returned to custody either with new charges or for violating their conditions of parole."<sup>6</sup>

During calendar year 1989, 39,976 parolees were returned to custody for violating their conditions of parole.<sup>7</sup> The Blue Ribbon Commission on Inmate Population Management reports that "parole violators represent not only a state prison population increase impact, but also a processing problem in that over 81% of all parole violators spend less than six months in prison; over 52% spent less than three months."<sup>8</sup> It is this problem that RTC's are designed to address. With prison facilities suffering from massive over-crowding, locally operated RTC's can relieve the CDC of the task of processing and housing parole violators who will in all probability spend less than six months in custody.

It should be noted that "of the California Department of Corrections

parole violators returned for technical violations, drugs were a known factor in well over 50%. California Department of Corrections drug parole violators (drug or drug related revocations) increased from 850 in 1980 to 18,700 in 1988."<sup>9</sup>

In its final report dated January, 1990, the Blue Ribbon Commission on Inmate Population Management recommended that the number of state funded, publicly and privately operated, urban return to custody facilities and multi-purpose community correctional centers be significantly expanded to house both youthful and adult parole violators.

Also, RTC's can be operated at a considerable savings to the State of California. The Blue Ribbon Commission on Inmate Population reports "the cost to maintain a prisoner in an RTC is approximately \$18,000.00 each year. The cost to house the same prisoner in a standard institution is more than \$20,000.00 for the year."<sup>10</sup>

It is clear why the California Department of Corrections would want to contract with other public agencies and private companies to operate RTC's given the overcrowding of prisons and the cost savings. But, why would a small city want to operate an RTC? The answer is money. RTC's are viewed as an exceptional source of revenue to small cities. When the City of Folsom's RTC was opened on November 2, 1990, the Folsom City Mayor, Mr. Jack Kipp, stated, "This facility will create considerable savings to taxpayers and the State of California. The City of Folsom expects to realize a net profit of \$200,000 to \$350,000 per year as a result of this facility."<sup>11</sup> In interviews with police chiefs who are operating RTC's and their facility managers, the question: "Why did your city elect to develop and operate an RTC?" was posed. Each of the respondents stated that their cities were facing financial difficulties and pursued a contract with the State of California to operate an RTC to

bolster their revenues. The estimates of net profit to be realized for the six RTC's visited ranged from a low of \$200,000 to a high of \$750,000 each year. In each case, revenue was the driving force behind the cities and counties operating an RTC.

All of the police administrators interviewed to gain background information for this research project were very optimistic about the profits to be realized through the operation of an RTC. In fact, it was difficult due to their enthusiasm, to steer the interviews away from the profit issue toward other issues of concern. Each of the cities and counties contacted expected revenues from three sources: first, the profit from the RTC itself; second, from increased sales tax revenues due to local vendors being used for the construction and supply of the RTC; and third, from the increased spending of local residents being employed by the RTC.

During the interviews, the following issues surfaced as concerns to those police chiefs and facility managers operating RTC's:

- Recruitment and retention of RTC employees. Estimates of employee turn-over rates ranged between 25% and 50% annually.
- Major labor disputes. Some fear was expressed about employees going on strike. And, in the case of police departments operating an RTC, correctional personnel demanding parity with police personnel.
- Corruption. A major concern was the opportunity for RTC employees to engage in illegal activity such as smuggling contraband into the facility.
- Liability to the city. Liability was a concern in that the city could be held jointly liable with the State

should an inmate be injured due to negligence on the part of an RTC employee or due to faulty equipment.

- Mismanagement. A concern of the state, and of the governing body of cities operating an RTC, is the possibility of facility mismanagement resulting in a loss of profit or, in the worst case, a loss to the city due to a lack of expertise on the part of those persons responsible for the operation of the RTC.
- Relationships with other city departments. In the case of small city police departments operating an RTC, one of the concerns expressed was the possibility of strained relationships between the police department and other city departments. It was felt that there was a "jealousy" factor involved due to the increase in personnel and equipment for the police departments as a result of the anticipated revenue for the police department. Also, early on in the process, there was a tendency for other departments to begin to compete for a "piece of the pie."

The above list represents only a few of the concerns which surfaced during the interviews.

The answer as to why a small city police department administrator would want to operate an RTC became very obvious early on in the research. The generation of revenue is, without question, the only reason any small city police department administrator or city manager would want to locate a correctional facility in their community and assume the responsibility for operating it. Certainly, the potential for realizing a significant increase of revenues exists in the operation of an RTC by a small city police department. But what will the impact on small police



departments operating an RTC be ten years from today?

Thus far the issue question and selected sub-issues have been identified and background information has been set forth through a recap of the review of the available literature and interviews of RTC administrators.

The remainder of this section will address the identification of those current trends and possible future events which may have an impact on the issue and the forecasting of those trends and events into the future

### **THE FORECASTING PROCESS TREND IDENTIFICATION AND SCREENING**

To accomplish the move from the present to the future, a group of nine individuals from varying backgrounds was convened for the nominal group technique (NGT) and forecasting process (Appendix C). The nominal group technique, simply stated, is the bringing together of a number of people and "picking their brains" as to what they believe are important trends and events which will have a significant impact on the issue to be studied. After the group establishes a rank-ordered list of trends and events, they are then asked to individually forecast each trend and event into the future. The median results of these forecasts are then used for the study. The group was given a brief overview of the NGT and forecasting process and then provided with the issue question:

What impact will operating a return to custody facility have  
on small police departments by the year 2001?

The NGT panel was provided with a list of candidate trends which were identified during the review of available literature and structured interviews with RTC administrators and managers (Appendix D). Through the use of the trend screening form the panel rated the candidate trends

as being priceless, very helpful, helpful, not very helpful, or worthless, for the purpose of top level strategic planning (Appendix E).

The list was reduced to the five trends which the panel deemed most important to the issue question and the sub-issues. The five trends selected for forecasting purposes are presented below in order of importance:

1. Inmate Population: T 1
2. Parole Violators Returned to Custody: T 2
3. Retention Rate of RTC Employees: T 3
4. Revenue Available to Small Cities: T 4
5. Cost of Housing Inmates to the State of California: T 5

These trends are defined further in the trend forecasting section of this paper.

### **EVENT IDENTIFICATION AND SCREENING**

The panel was then asked to identify possible future events which, if they occurred, would have an impact on the issue and sub-issues. The panel developed a list of 18 possible future events (Appendix F). Through a voting process the list was narrowed to the five most important events. The selected events are listed and discussed briefly in order of importance below:

1. State Declares One Year Moratorium on Paying Debts: E1  
Due to drastic financial problems, the State of California legislators enact emergency legislation declaring a one year moratorium on paying the State's debts. Only state employee salaries, social services and state infrastructure costs shall be exempt.

2. State Mandates Use of "Electronic Jails" for First Time Non-Violent Parole Violators: E2 In an effort to reduce costs, the State of California mandated the use of "electronic jails" for first time non-violent parole violators. The "electronic jail" is a device which is attached to a parolee's ankle and sounds an alarm in a central monitoring station whenever the parolee travels a distance greater than 30 feet from a censoring box located in the parolee's residence.
3. State Increases Number of Correctional Employees by 30%: E3 The California Department of Corrections increases the number of correctional officers in its employ by 30% due to the opening of ten medium and maximum security facilities throughout the state.
4. State Decriminalizes the Use of Drugs: E4 Having failed in its efforts to enforce narcotic laws, the State of California takes another approach by decriminalizing the use of all controlled substances.
5. RTC Employees Arrested for Drug Smuggling: E5 The State of California Bureau of Narcotic Enforcement, arrests five employees of the RTC for smuggling drugs into the facility and supplying them to inmates.

### **TREND FORECASTING**

A brief discussion of each trend was held to insure that the panel members understood the trend. The panel was then asked to individually forecast the level of each trend five years ago, today, five years from

today and ten years from today. Panel members were instructed to make their estimates based on their knowledge of the trend, personal experience and "gut feelings." This was accomplished through the use of the trend evaluation form (Table 1). For the purpose of the forecast, the value of today was set at 100.

After the panel members had completed their individual forecast of the trends, the panel median was computed and recorded. The panel was then asked to forecast what they believed the trend level should be five years from today and ten years from today. The panel median for "should be" was then computed and recorded.

Table 1 depicts the NGT panel median results of the trend forecasts.

**TABLE 1**  
**TREND EVALUATION**

TREND STATEMENT		LEVEL OF THE TREND (Today = 100)			
		5 YRS. AGO	TODAY	* 5 YEARS FROM NOW	* 10 YEARS FROM NOW
INMATE POPULATION	T-1	85	100	150 110	200 130
PAROLE VIOLATORS RETURN TO CUSTODY	T-2	75	100	175 95	125 75
RETENTION RATE OF RTC EMPLOYEES	T-3	100	100	75 110	55 110
REVENUE AVAILABLE TO SMALL CITIES	T-4	120	100	75 150	60 200
COST OF HOUSING INMATES	T-5	75	100	125 75	150 50

\* NGT Panel Median  
N=9

WILL BE
SHOULD BE

During the trend forecasting process, the following observations were made by the panel:

Inmate Population: T 1

The panel believed the level of inmate population was only slightly lower five years ago than it is today. However, they believed that over the next ten years the inmate population of our state correctional facilities would double. There was a large difference between the high and low estimates. However, the "should be" estimates were very similar. It was interesting to note that the panel's median estimate was very close to those estimates provided by the State of California, Department of Corrections. Had there been a large discrepancy between the state's projections and the panel's estimates, the State's figures would have been used for this research paper.

Parole Violators Returned To Custody: T 2

The panel estimated that the number of parole violators returned to custody would increase moderately five years from today but would decrease slightly ten years from today. When asked why they believed there would be a drop in the number of parole violators returned to custody ten years from today, the panel members stated they believed advances in electronic monitoring devices would allow for more parolees to be on "house arrest" in the future. The "should be" estimate showed a slight but steady decrease over the next ten years. The panel members stated that they believed that too many persons were being released on parole who should not have been. It should be noted that there was a very wide range between the low and high estimates. However, the median estimate was reasonable, therefore, the forecast was accepted.

Retention Rate of RTC Employees: T 3

The panel believed that the retention rate of RTC employees was the

same five years ago as it is today. This is due to the fact that RTC's are a very new concept. However, it was estimated there would be a 25% turnover rate in the next five years, increasing to a 45% turnover rate at ten years from today. The panel believed that RTC's would lose employees to the State Department of Corrections due to higher salaries and better benefits. The "should be" estimate showed a slight increase over today at the five years from today level continuing through the ten years from today level. The panel stated they believed some turn over in personnel was good for an organization.

#### Revenue Available to Small Cities: T 4

The panel estimated that revenues available to small cities were slightly higher five years ago than today with very little difference between the high and low estimates. It was forecast that there would be a steady decrease in available revenue over the next ten years dropping to nearly half of that of today. There was a very wide range between the low and high estimates with one very pessimistic panel member believing many small cities would be going bankrupt over the next ten years and one optimistic panel member believing there would be a slight increase in revenue available to small cities over the next ten years. The "should be" estimate showed that the panel believed that revenue to small cities needed to double over the next ten years to provide present levels of service and to keep up with inflation.

#### Cost of Housing Inmates: T 5

The panel believed that the cost to house inmates in state correctional facilities was somewhat lower five years ago than today but would steadily rise over the next ten years. The "should be" estimate showed a steady decline over the next ten years to half of today's cost. The panel members explained they felt that entirely too much money was

being spent on prisoners. While the panel admitted their "should be" estimate was not realistic, they were adamant that inmate housing costs should be drastically reduced.

Using the data gathered in the trend forecasting process, graphs were designed for each trend and are included in the appendix for the reader's review (Appendix G).

### **EVENT FORECASTING**

Having completed the forecasts of trends, a brief discussion was held on each of the five selected possible future events to assure they were relevant to the issue question. The panel was satisfied that all of the selected events should be retained for forecasting purposes.

The panel was asked to individually forecast the probability of the five selected possible future events actually occurring. This was accomplished through the use of the event evaluation form (Table 2). The panel was instructed to forecast the number of years before the probability of the event occurring first exceeds zero, the probability of the event occurring five years from today, and the probability of the event occurring ten years from today. The probability was measured on a scale of 0 to 100. The panel also evaluated the positive and negative impact of each event occurring on the issue question using a 0 to 10 scale.

Event forecasting is a very important part of this study in that the data generated, as stated previously, is used for the purpose of writing the future scenarios. Great care was taken by the panel members in establishing time lines to insure their forecasts were realistic.

Table 2 depicts the panel median of the event forecasting process.

**TABLE 2**  
**EVENT EVALUATION**

EVENT STATEMENT		YEARS UNTIL PROBA- BILITY FIRST EXCEEDS ZERO	PROBABILITY		IMPACT ON THE ISSUE AREA IF THE EVENT OCCURRED	
			FIVE YEARS FROM NOW (0=100)	TEN YEARS FROM NOW (0=100)	POSITIVE (0-10)	NEGATIVE (0-10)
DEBT MORATORIUM	E-1	3	20	40	0	10
ELECTRONIC JAIL	E-2	5	75	95	3	8
INCREASE EMPLOYEES	E-3	2	60	90	5	9
DECRIMINALIZE DRUGS	E-4	6	30	45	0	7
EMPLOYEES ARRESTED	E-5	0	80	97	2	8

NGT PANEL MEDIANS  
N = 9

Following is a brief discussion of the panel's observations while forecasting the probability of each event occurring:

State Declares One Year Moratorium on Paying Debts: E 1

The panel forecast that given the current financial crisis being faced by the State, the probability of this event occurring would first exceed zero in three years. However, they did not believe that there was a high probability of this event ever occurring. This is evidenced by the fact that the panel forecast a 20% probability of the event occurring in five years and a 40% chance of the event occurring in ten years. The panel still believed that this event should be retained for this study because of the disastrous impact that this event occurring would have on the issue question. The panel estimated there would be no positive impact on the issue area if this event occurred and estimated the negative impact as being 10.



#### State Mandates use of "Electronic Jail": E2

The panel forecast the number of years until the probability of this event occurring first exceeds zero at five years. All of the panel members believed that the technology in this area was very close to being perfected. The panel forecast a 75% probability of this event occurring in five years and a 95% probability of it occurring in ten years. It was forecast that there would be some positive impact of the event occurring on the issue question, but for the most part it would have a negative impact. The panel's estimates were very close with little difference between the high and low estimates.

#### State Increases Number of Correctional Employees by 30%: E 3

The panel members believed that the probability of this event occurring first exceeds zero in two years. They forecast a 60% probability of the event occurring in five years and a 90% probability of the event actually occurring ten years from today. The panel members believed that there was a very real possibility this event would in fact occur based on their forecast of the inmate population (T2). It was forecast that this event occurring would have a negative impact on the issue but that there would be some positive impact. Again, the high and low estimates of the probability of this event occurring were very close.

#### State Decriminalizes the Use of Drugs: E 4

The panel forecast the probability of this event occurring in five years at 30% and in ten years at 45%. However, there was a very wide range between the high and low estimates. The number of years until the probability of this event occurring first exceeds zero was forecast to be six years. The panel believed there would be no positive impact on the issue question were this event to occur. It was forecast that there would be a moderately negative impact on the issue if this event did, in fact,

occur.

#### RTC Employees Arrested for Drug Smuggling: E 5

The panel forecast that there was an 80% chance of this event occurring five years from today and a 97% chance of the event occurring ten years from today. As for the number of years until the probability of this event occurring first exceeds zero, the panel believed that the probability already exceeds zero. In fact, the panel believed that the 80% probability of the event occurring in five years held true for today.

The panel estimated the impact of this event would be mostly negative (8) with a slight positive impact (2). The panel stated that the rationale behind assigning a positive impact to this event's occurrence was that citizens would witness that the administration of the RTC was "cleaning house" and would not tolerate corruption.

Graphs depicting the probability of occurrence and the panel's median estimates of the positive/negative impact of the event have been designed and are included in the appendix for the reader's review (Appendix H).

### **CROSS-IMPACT ANALYSIS**

The panel was then asked to conduct a cross-impact analysis for the forecasted future events and trends. This was accomplished through the use of the basic cross-impact evaluation matrix (Table 3).

The impact of each event occurring was estimated in terms of percentage change (plus or minus) upon the forecasted events and trends originally forecast.

The purpose of the cross-impact analysis is to further evaluate the possible future events and current trends and to generate data to be used in developing future scenarios.

Table 3 depicts the panel median results of the cross-impact analysis:

**TABLE 3**  
**CROSS-IMPACT EVALUATION**

IMPACTING EVENT	IMPACTED EVENT					IMPACTED TRENDS					ACTORS
	E1	E2	E3	E4	E5	T1	T2	T3	T4	T5	
DEBT MORATORIUM	X	-10		+10		-5	-10	-25		-30	6
ELECTRONIC JAIL	-25	X	-30	-20	-15	-30	-40	-25	-50		8
INCREASE EMPLOYEES	+20		X			+25	+5	-30	+5	+20	6
DECRIMINALIZE DRUGS			-10	X	-20	-40	-40	-30	-10		5
EMPLOYEES ARRESTED					X				-10		1
REACTORS	2	1	2	2	2	4	4	4	5	1	

NGT Panel Median  
N=9

T-1 Inmate Population  
T-2 Parole Violators Returned to Custody  
T-3 Retention Rate of RTC Employees  
T-4 Revenue Available to Small Cities  
T-5 Cost of Housing Inmates

The cross-impact evaluation matrix was also used to identify actor events and reactor events and trends. The basic cross-impact evaluation form was read horizontally for each event and the number of events and trends which would be impacted if that event actually occurred were counted. Those events with the highest number of "hits" were the actor events. Those events which were identified as actor events are:

E2 State Mandates Use of "Electronic Jail" (8 hits)  
E1 One Year Moratorium on Paying Debts (6 hits)  
E3 State Increases Correctional Employees (6 hits)

Reactor events and trends were identified by reading the basic cross-impact evaluation matrix vertically and counting the number of times each

event and trend was impacted. There were no reactor events. Reactor trends are:

T4	Revenue Available to Small Cities	(5 hits)
T1	Inmate Population	(4 hits)
T2	Parole Violators Returned to Custody	(4 hits)
T3	Retention Rate of RTC Employees	(4 hits)

### **FUTURE SCENARIOS**

To conclude this portion of the study, three possible future scenarios are presented based on the data developed and the interpretation thereof.

Scenarios are written in the exploratory or "most likely" mode where none of the possible future events which were selected and forecasted occur; the normative or "desired and attainable" mode where intervening policies were put into place to negate the negative impact of the possible future events occurring; and, the hypothetical mode which addresses the question, "What if all of the forecasted possible future events occurred?" For the purpose of this study, I have elected to have all of the forecasted possible future events occur and result only in the negative impacts.

#### **EXPLORATORY - "MOST LIKELY"**

"City of Lindsay Opens New Return to Custody Facility With High Expectations," Lindsay Gazette, July 1991.

"Chief of Police Reports to City Council That Profit From The RTC is Far Below Projections," Lindsay Gazette, July 1991.

"Lindsay RTC Still Experiencing Difficulties Due to High Employee Turn Over," Lindsay Gazette, January 1999.

As the chief walked through the RTC, he found he didn't recognize half of the employees he encountered. He could not help but reflect on the news reports the day the RTC was opened. The city council had reported that the city would realize \$750,000 net profit per year as the result of operating the RTC. In spite of the fact that he had cautioned them that many factors could influence the revenue generated by the RTC, the council insisted on painting as positive a picture as possible.

The chief knew then that if the city realized half of the city council's projection it would be lucky. And, two years later when the revenue figures showed that the RTC only made \$300,000, the city council had pointed an accusing finger at the chief. The council's public position was that their projections were correct, but due to the chief's inexperience at operating a correctional facility, the profit fell well below their projection. Privately, however, the council admitted that they should have heeded the chief's advice to be cautious.

The chief had advised the council that they could anticipate a 40% turn over rate of RTC employees and the recruitment and training costs alone would significantly reduce profits. The council then stated that they believed people would work in Lindsay for a little less money because Lindsay was such a nice place to live. Eight years later when the RTC turn over rate was still between 40% and 60% each year, depending upon state hiring, the council insinuated that the problem was not low pay but working conditions.

For ten years, the chief had concentrated nearly 70% of his efforts on maintaining adequate staffing at the RTC and trying to increase profits. But try as he might, he could not compete with the State. Recruitment could have been easier had he lowered his standards, but that too was an unacceptable alternative. Profits from the RTC remained constant through

the years at about \$300,000 annually, never reaching the council's lofty projection.

The annual revenue was another source of grief for the chief. His fellow department heads resented every dollar spent on the police department and they lobbied the city manager and city council very successfully for the majority of the RTC revenues.

The police department itself was functioning fairly well. But the organization seemed to have lost direction and morale was a constant concern to the chief. With the RTC demanding so much of his time, he could not focus his attention on the police department the way he had in past years. The police officers felt neglected and resented the chief's lack of attention. As a result, the turn over rate in the police department had increased as had citizen's complaints.

This was the chief's last tour of the RTC. He had accepted a position as chief of police in another small city. His only condition for accepting the position was an assurance from the city manager and the city council that they had no intention of ever developing and operating an RTC.

#### NORMATIVE - "DESIRED AND ATTAINABLE"

"State of California Department of Corrections Hiring Has No Impact On Lindsay RTC," Lindsay Gazette, January 1996.

"Lindsay RTC Realized Average Profits of \$375,000 For The Last Ten Years," Lindsay Gazette, July 2001.

"RTC Employees Arrested for Drug Smuggling .... Public Confidence Still High," Lindsay Gazette, November 1992.

The chief of police sat in his new office and could not help but feel a tremendous sense of satisfaction over the events of the last ten years. He knew that the success of the RTC was a direct result of his planning and

farsightedness.

The chief had schooled the city council well on the pitfalls of over estimating revenues anticipated from the RTC, which opened in June of 1991. He was successful in convincing the council early on not to spend any of the RTC revenues for a period of years in order to allow them to accumulate. This was a very difficult decision given the many projects the city needed to finance. But the council saw the benefit of creating a large cash reserve.

The chief was also successful in convincing the city council that police officer and correctional officer salaries must be comparable to those being paid by the State. He knew that a high turn over rate would not only have a negative impact on the operation of the RTC but would also reduce profits due to the cost of recruiting and training new correctional officers. In 1996, when the California Department of Corrections increased the number of correctional officers by a record 30%, many of his fellow police chiefs, who were administrators of RTC's, experienced a devastating loss of experienced correctional officers. However, he had not lost a single employee. There was no incentive for his people to go to the State. They were already making as much money as state employees and were satisfied with their jobs.

Also, the chief had the farsightedness to include his fellow department heads early on in the RTC process. And, he made it clear that everyone would benefit by RTC revenues.

In 1992, five RTC correctional officers were arrested by the State of California Bureau of Narcotic Enforcement (BNE) for smuggling narcotics into the RTC. The chief had cooperated thoroughly with BNE and had taken quick action to terminate the involved employees. It was well publicized that the chief had handled the situation decisively and the

public was confident that corruption would not be tolerated by the city.

The police department was operating more efficiently than ever. RTC profits had enabled the city to buy the very best equipment and morale was high. The chief had hired a retired California Department of Corrections lieutenant to manage the RTC and very little of the chief's time was devoted to the RTC. He was able to focus most of his time and effort on the police department. The new police facility, which had its grand opening two days ago, was financed based on the 10 year average RTC profit of \$375,000.

As the chief looked around his new office, his eyes fell upon his Command College plaque. He knew that it was the training he received in futures forecasting, strategic planning, and transition management in the Command College that was responsible for his success.

#### HYPOTHETICAL - "WHAT IF"

"Lindsay RTC Employees Arrested for Drug Smuggling,"

Lindsay Gazette, September 1991.

"State of California Declares a One Year Moratorium on Payment of Debts," Lindsay Gazette, June 1994.

"Use of 'Electronic Jails' Has Negative Impact on Lindsay RTC," Lindsay Gazette, January 1996.

"Lindsay RTC Closes ... Fate of Facility Unknown," Lindsay Gazette, August 1999.

As the chief was being escorted out of his office by the city manager and the mayor the events of the past ten years flashed across his mind. He still could not believe that the RTC, which he supported so strongly, had ruined his career. He had spent two years of his life selling the concept to the city and now, ten years after the RTC was opened, he



was being led away from his office with his personal belongings in a small cardboard box.

The trouble began within three months of the RTC being opened. Five of his correctional officers were arrested for smuggling drugs into the facility. When it became known that he knew nothing of the California Bureau of Narcotic Enforcement's investigation, public confidence in him began to deteriorate. His own police officers could not understand how he let the situation develop and their morale began to drop as they lost confidence in him.

The fact that the chief had not promoted police personnel into supervisory positions at the RTC did not help matters. The police officers association gave him a no confidence vote in retaliation for his having hired civilians to serve as RTC supervisors. The chief had been instructed to do so by the city council in order to save money. But, the police officers felt he should have fought harder for them.

About this same time it became apparent that his estimate of a 10% turn over rate in RTC personnel was drastically low. The turn over rate proved to be 50% annually and the recruitment and training of new employees became a continuous process. It was necessary to use police officers as correctional officers and an exodus of his very best police officers began.

In 1994, when the State of California declared a one year moratorium on the payment of its debts due to a financial crisis, the chief felt betrayed. The state had assured him, and he the council, that such a measure would never be taken. Had it not been for the fact that the city had enough reserves to finance the RTC for the year, the RTC would have closed then.

Even though inmate populations were escalating as projected by the California Department of Corrections back in 1991, the number of parole violators began to lessen. In 1996, the State mandated that all first time parole violators who were non-violent would be incarcerated in their homes through the use of "electronic jails." As the number of inmates in the RTC became fewer and fewer the chief was forced to begin laying off correctional officers. This situation was further exacerbated in 1997 when the State took two actions which sealed his fate. First, the State increased the number of correctional officers by 30%. What few correctional officers he had left began to leave as soon as the State could process them. It was necessary to have his police officers work double shifts, eight hours on patrol as police officers and eight hours in the RTC as correctional officers. This action resulted in yet another vote of no confidence and a work slow down. Second, the state decriminalized the use of controlled substances. As better than 50% of all parole violators were violated due to drug use, the impact of this action on the RTC was devastating. The chief was in charge of an empty RTC and a police department that was understaffed, ill-equipped, untrained, and unwilling to continue to work for him. The city council then closed the RTC to cut their losses.

Two years have passed since he began his appeal process. And, this morning, when the court finally ruled against him, the city manager and mayor could not remove him from his office fast enough.

## **PART TWO**

### **STRATEGIC PLANNING**

# **DEVELOPING A STRATEGIC PLAN FOR THE OPERATION OF A RETURN TO CUSTODY FACILITY BY A SMALL POLICE DEPARTMENT**

## **INTRODUCTION**

Part One of this research project focused on developing a vision of the future for small police agencies operating an RTC. Three possible futures were presented based on the data gathered and the interpretation thereof.

This portion of the research project will focus on developing a strategic management plan for the law enforcement executive to utilize in the decision making process to minimize the negative impact of the identified current trends and possible future events and to maximize the positive aspects of those trends and events. It should be kept in mind that a strategic plan does not have to, in fact cannot, address everything that affects the issue.<sup>12</sup>

For the purpose of this study, the City of Lindsay and the Lindsay Police Department will be used as a model. However, the plan is intended to be as generic as possible to small law enforcement agencies. While the City of Lindsay is not presently operating an RTC, the strategic plan will be written as though Lindsay has developed an RTC and is beginning to move into the operational phase.

## **THE SETTING**

The City of Lindsay is a small rural community of 8,600 residents located on the east side of Tulare County in Central California. The ethnic make up of the city is 63% Hispanic, 35% white and 2% other.<sup>13</sup> The economy is based solely on the agricultural industry and is very depressed. Recent unemployment estimates have been placed at nearly 20%.

The city has enjoyed a relatively low crime rate, but is experiencing an increase in crimes against property and domestic violence cases. This increase is attributed to the freeze in December of 1990 wherein the citrus crop of the Central San Joaquin Valley was destroyed resulting in nearly 40% unemployment of agricultural workers in Lindsay and the surrounding communities. Still, the citizens of Lindsay live lives free of problems experienced in larger metropolitan areas.

The Lindsay Police Department is comprised of 14 sworn full-time police officers, 10 paid reserve police officers and 4 civilians. The department is fairly well equipped and is housed in an excellent, although aging, facility.

The major problems facing the police department are inadequate funding, low salaries, and inadequate staffing. Recruitment and retention of police personnel has been a serious problem for several years due to police officers salaries not being competitive with those of surrounding agencies. The police department enjoys strong community support and is viewed by the majority of the citizens of Lindsay as being responsive to their needs. The police department also enjoys strong support from the city manager and the city council.

### **STRATEGIC PLAN DEVELOPMENT**

The strategic plan shall consist of the following: 1) identifying the selected future scenario; 2) developing a macro and micro mission statement; 3) conducting a situational analysis (WOTS/UP); 4) stakeholder identification and analysis and Strategic assumption surfacing technique; 5) Modified Policy Delphi/developing policy options; 6) development of an implementation plan; and, 7) discussion of negotiating strategies to be employed with key stakeholders.

## **SELECTED SCENARIO**

For the purpose of this strategic plan, the normative, or "desired and attainable" scenario has been selected. As stated in Part One of this study, the normative scenario addresses that future state in which intervening policies have been put into effect to negate the forecasted negative impacts of the identified trends and possible future events.

This scenario depicts what we want our future to be. The strategic plan is a step by step road map to aid the law enforcement executive in realizing the desired future state of his organization.

## **MISSION STATEMENT**

The Lindsay City Police Department has in place a mission statement which is presented as an example of a macro statement of purpose:

### **MISSION STATEMENT**

#### **LINDSAY DEPARTMENT OF PUBLIC SAFETY**

**\* \* \* \*COMMITMENT TO EXCELLENCE\* \* \* \***

#### **EXCELLENCE IN COMMUNITY SAFETY**

Providing proactive fire protection, law enforcement, and crime prevention through aggressive suppression of criminal activity and protection of life and property.

#### **EXCELLENCE IN PROFESSIONALISM**

Maintaining a progressive posture promoting only the highest level of ethical behavior and professional application to duty.

## EXCELLENCE IN EFFICIENCY

Dedicating effective distribution of man power and resources to promote the greatest level of community service while considering budgetary constraints.

## EXCELLENCE IN COMMUNITY SERVICE

Promoting a fluent dialogue between the department and the community increasing contact with service organizations and schools through drug awareness, education, speaking engagements, Explorer sponsorship and participating in community activities.

## EXCELLENCE IN EMPLOYEE RELATIONS AND DEVELOPMENT

Ensuring open communication within the department, treating each members with respect which builds morale and a sense of teamwork. Assisting personnel in developing to their maximum potential providing encouragement and training wherever necessary.

Following is a micro-mission statement which focuses specifically on the issue question:

### RETURN TO CUSTODY MISSION STATEMENT

It is the mission of the Lindsay Police Department to operate a Return to Custody Facility as effectively and efficiently as possible; provide a secure and safe environment for inmates and employees alike; isolate the citizens of Lindsay from the stigma of a correctional facility as much as possible and operate within its established budget in order to maximize profit margins.

## SITUATIONAL ANALYSIS (WOTS/UP)

A situational analysis is merely an assessment of the environment in which we are operating in terms of what weaknesses, opportunities, threats and strengths exist which the law enforcement administrator should be aware. The organization's capabilities are also assessed in terms of strengths and weaknesses which affect the organization's capability or readiness to handle change. The purpose of conducting a situational analysis is to assist the decision maker in developing a strategic plan.

In order to accomplish the situational analysis, a panel of five persons was brought together to first discuss the environment in which we are operating and then to discuss the strengths and weaknesses of the organization and its capability to handle change.

Three of the panel members were from other city departments and two were members of the police department. All of the panel members were promised anonymity in order to insure that they would speak freely and honestly. This same panel was used to assist in completing the Strategic Assumption Surfacing Technique (SAST) as well as the Modified Policy Delphi (MPD). The SAST and MPD are discussed later in this section.

### ENVIRONMENTAL ANALYSIS

In conducting the situational analysis of the environment, the STEEP model has been employed. STEEP is a method of scanning the environment by examining the social, technological, economical, environmental (climate) and political aspects.<sup>14</sup> The panel discussed each of these aspects in detail, as they pertain to the model agency, and a summary of their observations is presented below:



**SOCIAL** - The City of Lindsay is comprised of a population primarily 40% white and 60% Hispanic. In recent years there has been a trend of retired persons moving from large metropolitan areas into Lindsay. The attraction to Lindsay is largely due to a quiet, slower pace of life and a relatively low crime rate. This trend is recognized as a possible threat/block to the successful operation of an RTC in Lindsay primarily due to the fact that older, retired persons may be resistant to a correctional facility being located in their city. County wide, citizens have voiced support for new prison construction in recent years. This trend is viewed as a definite opportunity.

**TECHNOLOGICAL** - The City of Lindsay is a rural agricultural community. There are no high tech industries in the city or surrounding areas. However, the city itself has completely computerized over the past three years and has been used as a model city by the Apple Computer Company. The trend toward computerization is recognized as an opportunity as the city and police department will have the ability to track and manage the RTC.

**ECONOMICAL** - The City of Lindsay, like most small valley cities, is experiencing a very depressed economy. There is a need for developing new sources of revenue. The City of Lindsay and the surrounding area was severely impacted by the freeze of December, 1990 and it is estimated that nearly 20% of the area's work force is presently unemployed with more layoffs anticipated. This is viewed as an opportunity to the issue question since a major concern to RTC administrators is employee turn over. With many persons being unemployed, there will be a very large labor pool from which to draw. Also, the desperate need on the part of the city for additional revenue will serve as an incentive to operate an RTC as efficiently as possible.

The State of California has been experiencing serious budget problems and has had to make many cuts in recent years. This trend is viewed as an opportunity as it has been shown that RTC's contracted by cities each save the State approximately one million dollars per year. Thus, the State has been motivated to insure the success of city run RTC's through technical assistance and guidance.

**ENVIRONMENT** - The City of Lindsay enjoys a mild climate year round. The summer months are hot and dry, however, the winter months are very mild. The air quality is good with little to no smog. The major environmental issue facing the city and county is water quantity and quality. The trend in recent years has been frequent water shortages and increased water conservation measures being taken by the cities and counties in the area. This trend is viewed as being a threat as a correctional facility housing 400 inmates and employing 60-70 persons has a definite negative impact on water usage.

**POLITICAL** - The City of Lindsay has been experiencing a very unstable period in terms of political activity. In the past year and a half, two council persons have resigned and the mayor did not seek reelection. There are three new council members at present and the emphasis of the council has been in controlling spending and the formation of citizen's committees to examine the spending practices of the city. This trend is viewed as an opportunity as it will become very clear to both the city council and to concerned citizens that the city needs additional revenue and a well managed RTC is an excellent source of revenue. Another trend in recent years is the growing involvement of Hispanics in the politics of the city; Hispanics have been under represented in the city in terms of employment and political appointments. This trend is viewed as an opportunity due to the possibility of the Hispanic community becoming an

advocate group for the police department and the RTC. This is due to Hispanics comprising at least 50% of the labor pool from which candidates to work at the RTC will be chosen.

A possible future event which could have a negative impact on the issue is a change in city managers. The present city manager is very supportive of the police department and the RTC, but is presently looking for a position with another city.

A trend which could be a threat to the city's operation of an RTC is the growing involvement of senior citizens in monitoring the city's activities. As stated previously, a growing percentage of the city's elderly population is made up of retired persons from larger southern California cities who relocated to Lindsay for a quieter lifestyle.

#### ORGANIZATIONAL ANALYSIS

The capabilities of the City of Lindsay and the Police Department were assessed by the panel through the use of the capability analysis rating form (Appendix I). An internal survey was conducted by the panel and the following strengths and weaknesses were identified.

##### City:

##### Strengths:

1. Strong management team.
2. Strong/supportive city manager.
3. Technologically advanced for a small rural city.
4. Supportive city council.
5. Motivated to seek revenue sources.
6. Redevelopment agency in place.
7. Excellent grant writing personnel in place.
8. Close working relationship with local businesses.

9. Close working relationship with Chamber of Commerce.
10. Selected as a "model city" by the Apple Computer Company.
11. Progressive attitude toward growth.

Weaknesses:

1. Shortage of personnel, back log of projects in all city departments.
2. Financially unstable.
3. Weak at first line supervisory level in most departments.
4. Weak infrastructure - could not easily accommodate growth.
5. Recent radical change in city council.
6. Low pay scale for employees at all levels.
7. Poor public image due to recent controversy surrounding city's spending practices.

Police Department:

Strengths:

1. Excellent facility for a small rural police department.
2. Better than average management skills. The city has been very supportive of police management furthering their education.
3. Supervisors possess better than average skills. All three of the department's sergeants have attended the POST middle management course. One sergeant is currently attending the Supervisory Leadership Institute course and the others are on the list for future classes.
4. Excellent training provided to all personnel. The police department has been fortunate in that the city manager and city council encourage the police administration to send officers to as many POST courses as possible.
5. Strong community support. The police department is

viewed by the vast majority of citizens as being well trained, competent and professional. The citizens, as a whole, have been very vocal that they expect their police department to be well trained and equipped.

6. Strong Council/Manager support. Both the city manager and the city council have been very supportive of the police department and have publicly stated that public safety shall be a number one priority on their agendas.
7. The department is flexible and adapts well to change. The police department has undergone many changes during the past six years in terms of leadership, direction and focus. Each change was greeted with enthusiasm and support by the department's personnel.
8. Computerized records and reporting system in place.
9. Active, well organized reserve police officer program. The police department has a reserve officer force of 10 personnel who are very active not only within the police department but also in the community.

Weaknesses:

1. Manpower shortage. Due to budgetary problems, the police department was reduced by two full time police officer positions in 1989. There are no immediate plans to fill those vacancies.
2. Weak administrative skills below the rank of chief.
3. No experience in corrections facility management. The police department does not have a jail or holding facility at present. No one on staff has previous experience in managing a jail or correctional facility.

4. No in-house experience in correctional design or construction.
5. Shortage of bilingual police officers. Only three of the departments 14 sworn police officers are bilingual.
6. Salaries hinder recruitment and retention of police officers.

After the panel discussed the identified strengths and weaknesses of the city and the police department it concluded that both appeared capable of achieving the mission once key weaknesses are compensated for. Those key weaknesses being 1) weak secondary administration within the police department; 2) a lack of expertise in managing a correctional facility; and 3) low compensation of police personnel.

### **STAKEHOLDER ANALYSIS STRATEGIC ASSUMPTION SURFACING TECHNIQUE**

An essential element in the development of a strategic plan is the identification of stakeholders.<sup>15</sup> A stakeholder is defined as an individual, group, or organization which either impacts what you do, is impacted by what you do, or cares about what you do.<sup>16</sup> Stakeholders can be from within your organization or outside your organization.<sup>17</sup> Listed below are the individuals and/or groups identified by the panel as being stakeholders in the issue. The panel's position as to whether the stakeholder will be supportive, opposed, or neutral to the issue as well as the assumption the panel assigned to each is also indicated. Assumptions are deep rooted, basic beliefs, stated or unstated, that individuals and or groups hold about the world we live in.<sup>18</sup> Also noted are the chief executive's assumptions relating to each stakeholder. The panel noted the chief executive's assumptions as he will be the chief negotiator in the negotiating process.

The identification of assumptions held by both the law enforcement

decision maker and the identified stakeholders will be very important upon entering into the negotiating process. The panel employed the strategic assumption surfacing technique (SAST) in analyzing the stakeholders. SAST is a technique whereby the panel members were asked to make assumptions about the stakeholder positions. The assumptions are then plotted on an assumption map as to how important the assumption (stakeholder) is to the issue and as to how certain the assumption pertaining to the stakeholder is. The SAST map is presented in the appendix (Appendix J). I have also identified certain stakeholders as snaildarters. A snaildarter is an unanticipated stakeholder who can radically impact your strategy.<sup>19</sup>

## **STAKEHOLDER POSITIONS/ASSUMPTIONS**

The following analysis of stakeholder positions and assumptions is presented as an example for the law enforcement executive to follow in preparing for the negotiation process.

### **STAKEHOLDERS:**

#### **1. Chief of Police - Support**

##### **Assumptions:**

- Will view the successful operation of the RTC as essential to the success of his tenure as the Chief of Police.
- Will strongly oppose any party or plan viewed as a threat to the efficient operation of the RTC or the police department.

#### **2. City manager - Support**

##### **Assumptions:**

- Will insist that the RTC be operated as a profit

generating business.

- Will expect that the efficiency of the police department will be maintained.

Chief:

- City manager will be supportive of the Chief of Police only as long as the RTC is realizing anticipated profits.
- City manager will expect the efficiency of the police department to improve rather than deteriorate as a result of the department operating an RTC.

3. California Department of Corrections - Support/Oppose (Snaildarter)

Assumptions:

- Police departments cannot do as good a job at running a correctional facility as CDC.

Chief:

- CDC will cooperate and support the police department in its operation of an RTC only because and only as long as, it is in its own best interest to do so.

4. Lindsay City Council - Support

Assumptions:

- The police department will be improved by the operation of an RTC.
- The profits from the RTC should benefit the entire city, not just the police department.

Chief:

- The city council will expect the police department to improve its efficiency.



- The city council will blame the chief of police for any problems in the operation of the RTC and the police department.

5. Citizens of Lindsay - Support with reservations

Assumptions:

- The police department will do a good job of operating the RTC.
- The city can't be trusted to "do the right thing" with the profits from the RTC.
- The RTC will cause crime problems in the city.

Chief:

- Citizens can be won over with a good public relations/education program.
- Citizens will be very sensitive to any deterioration of services provided by the police department.

6. Lindsay Police Officers Association (LPOA) - Support

Assumptions:

- The operation of the RTC will generate promotional opportunities and salary increases.
- The police department will continue to be the chief's first concern.
- City manager and city council can't be trusted to "do the right thing".

Chief:

- LPOA will support the chief's position on the issue.

7. Tulare County Sheriff's Office (TCSO) - Oppose

Assumptions:

- Lindsay's RTC will have a negative impact on their RTC.
- The City doesn't have the expertise to operate a correctional facility.

Chief:

- Sheriff's office will stay out of the city's business as long as the state assures them of the future of their RTC.

#### 8. Hispanics - Support

Assumptions:

- City will not improve conditions for Hispanics with RTC revenues.
- RTC will be an opportunity to provide jobs for Hispanics but will have to be fought for.

Chief:

- Hispanics will want to share in any good realized from the operation of the RTC.
- Hispanics will cause grief for the city and the police chief if their concerns are not addressed.

#### 9. California Correctional Peace Officers Association (CCPOA) - Oppose

Assumptions:

- Cities operating correctional facilities will put some of their members out of work.
- Police departments will not be able to manage a correctional facility efficiently.

Chief:

- CCPOA will make a strong move to organize RTC

correctional officers.

- CCPOA will eventually succeed in its effort to organize RTC correctional officers.

10. Senior citizens - Oppose

Assumptions:

- The police department will mismanage the RTC.
- Crime will increase because of the RTC.
- Criminals and their families will move to Lindsay.
- The efficiency of the police department will deteriorate because of its involvement with the operation of the RTC.

Chief:

- Seniors can be placated with a good public relations program.
- Seniors could be cultivated as a very strong advocacy group for the police department.

11. Lindsay Chamber of Commerce - Oppose? - Support?  
(Snaildarter)

Assumptions:

- RTC will have a negative impact on the city's image.
- New business will be reluctant to locate in a "prison town."

Chief:

- Chambers resistance will cease as soon as its members realize the RTC will be financially beneficial to them.

12. Other City Department Heads - Oppose? - Support?

(Snaildarter)

- Police department will not want to share RTC profits with the other city departments.
- The chief of police is "empire building" with the RTC.

Chief:

- Other city departments have always been jealous of the police department.
- Other department heads will sabotage the police department's efforts if they are not included early on.

### **MODIFIED POLICY DELPHI DEVELOPING ALTERNATIVE POLICIES**

In developing alternative policies, the Modified Policy Delphi technique was employed. The modified policy delphi is a process designed to examine policy issues. A group of individuals is brought together to "brainstorm" an issue and to develop a policy through consensus which addresses that issue. The original panel of five was joined by three other persons who were thoroughly briefed as to the work of the nominal group and the NGT forecasts relative to the issue question (Appendix K). The new members of the group were also briefed on the work of the original five panel members up to this point.

The panel was asked to brainstorm the issue question and to develop alternative policies which in their opinion would address the issue question, the sub-issues, and to help bring about the desired future state.

The panel developed seven policies for further evaluation. After further discussion four policies were retained after it was determined that each would have a high degree of stakeholder support and ranked high in desirability and feasibility.

The developed policies are presented below with the panels observations as to the advantages and disadvantages of each.

Policy 1:

The Chief of Police shall create a corrections division within the police department administered by a civilian employee with at least three years of experience in managing a correctional facility at the rank of Lieutenant or higher.

Advantages

1. The lack of experience in the administration of a correctional facility is negated.
2. The Chief of Police will not be required to personally oversee the operation of the RTC.
3. The existing organizational structure will not undergo major change. The creation of a corrections division adds another tier to the organizational chart and expands the chief's span of control by one person. The police department's overall organizational structure would be the same as most small county sheriff's departments operating a jail division.
4. Hiring an administrator for the RTC with a corrections background should facilitate better communication with CDC personnel overseeing the operation of the RTC.

Disadvantages

1. The police department will not be able to promote from within its ranks to fill the RTC administrator's position.
2. It may be very difficult to attract a qualified person to fill the RTC administrator's position due to Lindsay's locale.
3. A higher salary may have to be paid than desirable to the city.

### Policy 2:

The City of Lindsay shall compensate correctional officers and police officers at a rate comparable to entry level state correctional officers. RTC supervisory positions shall be filled initially by existing police personnel, however, future supervisory vacancies will be filled competitively and include correctional officers in the process.

#### Advantages

1. Competitive salaries will assist in the recruitment and retention of both police officers and correctional officers.
2. Opening supervisory positions to correctional officers will create a career ladder for correctional personnel and reduce employee turn over.
3. By initially filling RTC supervisory positions with existing police personnel, the police officers will more readily buy into the operation of an RTC by the police department.

#### Disadvantages

1. RTC profits will be reduced due to higher salaries.
2. Police officers initially promoted to RTC supervisory positions will have a different "mind-set" than someone with a corrections orientation.
3. It may be two to three years before correctional officers are able to compete for promotions to a supervisory position.

### Policy 3:

Fifty percent of the annual profits realized from the operation of the RTC shall be held in reserve for the first five years. Of the remaining 50%, the police department shall be limited to receiving 40% with the remaining 60% to be used to fund other city department projects.

### Advantages

1. The holding of 50% of the annual RTC profits in reserve will create a fund to be used for the operation of the RTC should one or more of the forecasted possible future events occur which would reduce or eliminate state payment to the city.
2. This policy would force the city to set priorities for the use of RTC profits.
3. The limiting of RTC profits to be allocated to the police department early on will eliminate much of the anticipated conflict with other city departments.

### Disadvantages

1. The city will have to put much needed projects on hold for five years. Affected departments and citizens will not understand the need to wait until funds are available.
2. Police personnel will resent not being able to realize the fruits of their labor. Morale will be impacted negatively.
3. Chief of police may find himself in conflict with other city administrators and the city council who are dependent upon RTC profits to fund programs promised to their constituents.

### Policy 4:

Public safety shall be the primary focus of the police department. Police activities shall be kept separate and apart from the operation of the RTC.

### Advantages

1. Emphasizes the primary mission of the police department.
2. Emphasizes the division between the police department which is not a profit motivated business from the RTC which is a profit motivated business.

### Disadvantages

1. Could create an "us vs. them" mentality between employees of the RTC and the police department even though they all work for the same city and the same chief executive.

### STAKEHOLDER POSITIONS ON SELECTED STRATEGIES

The panel analyzed the positions of the stakeholders on each of the four policies. Chart 1 displays the positions of the stakeholders as determined by the panel.

**CHART 1**  
**STAKEHOLDER POSITIONS**

POLICY	STAKEHOLDERS											
	1	2	3	4	5	6	7	8	9	10	11	12
Policy 1	S	S	S	S	S	I	I	I	S	I	I	I
Policy 2	S	S	I	S	I	S	I	S	O	I	I	O
Policy 3	S	O	I	C	I	C	I	I	S	O	O	O
Policy 4	S	S	I	S	S	S	I	S	I	S	S	S

S=Support

O=Oppose

C=Change

I=Indifferent

- |                                    |                         |
|------------------------------------|-------------------------|
| 1. Chief of Police                 | 7. T C S O              |
| 2. City Manager                    | 8. Hispanics            |
| 3. California Dept. of Corrections | 9. C C P O A            |
| 4. Lindsay City Council            | 10. Senior Citizens     |
| 5. Citizens of Lindsay             | 11. Chamber of Commerce |
| 6. Lindsay Police Officer's Assn.  | 12. Other Dept. Heads   |

A review of the panel's analysis indicates that the following stakeholders will be the chief opposition to the proposed policies:

Policy 1. No opposition.

Policy 2. C C P O A other department heads.



Policy 3. City manger, senior citizens, Chamber of Commerce, other department heads.

Policy 4. No opposition.

The stakeholders will be evaluated in further detail later in this study when negotiating strategies are discussed.

## **IMPLEMENTATION STRATEGY**

Having established policies and analyzed the position of stakeholders on those policies, the next step is to develop an implementation plan. The implementation plan consists of action steps to be taken, resource requirements, and time lines.<sup>20</sup>

### Action Steps.

1. The chief of police shall chair a committee comprised of the city manager, the city finance director, two members of the city council, and the president of the Lindsay Police Officers Association. This committee shall be responsible for "selling" the selected strategies to key stakeholders.

2. The chief of police appoints a "champion" to serve as chairperson on a committee comprised of the rank and file of the police department. The "champion" will be a respected individual who can serve as a change agent. This committee shall be responsible for addressing the remainder of this list.

3. Develop goals and objectives for the committee.

4. Significant steps to be taken.

A. Create a job description and list of qualifications for RTC administrator.

B. Implement recruitment program for RTC administrator.

- C. Conduct an internal survey to discover concerns of police personnel.
  - D. Conduct a salary survey of various state positions and surrounding law enforcement agencies.
  - E. Develop and implement a large scale recruitment program.
  - F. Determine number of RTC supervisory positions.
  - G. Create a job description and list of qualifications for RTC supervisory positions.
  - H. Develop and implement a training program for potential RTC supervisors.
  - I. Set up a mechanism for communicating progress to the chief of police and to the police officer's association.
  - J. Select and appoint RTC administrator well in advance of RTC opening (at least 90 days).
- 5. Implement public relations program to insure citizen's police service will not deteriorate due to police department operating RTC.
  - 6. Put into place an evaluation process to insure implemented policies are working.

#### Resource Requirements

- 1. Personnel serving on committees.
- 2. Sufficient funds for recruitment costs (i.e., flyers, ads, background checks, medicals, psychological exams, travel, etc.)
- 3. One staff level officer to serve as public information officer responsible for media public relations program.
- 4. Sufficient funds allocated for salaries.

### Time Lines

1. RTC administrator to be hired at least 90 days prior to opening of RTC.
2. RTC supervisors hired and trained at least 60 days prior to opening of RTC.
3. All policies written and in place 90 days prior to opening of RTC.
4. Public relations program in place and operating 120 days prior to opening of RTC.
5. Agreement on disposition of RTC revenues reached and published 120 days prior to opening of RTC.

### **NEGOTIATING ACCEPTANCE OF THE STRATEGY**

The very best strategy is of no value if those persons upon whom its success is dependent are not supportive. Therefore it is very important that the negotiator have a clear view as to which elements of the strategy are negotiable and which are not.

Presented below are those points which are deemed to be negotiable and those which are not negotiable for each of the developed policies.

#### Policy No. 1

Negotiable - No element of this policy is negotiable. This policy is considered to be essential to the successful operation of an RTC.

#### Policy No. 2

Negotiable - Compensation to be paid to RTC employees. While it is desirable to pay a salary equivalent to that of the State it is not essential. A salary comparable to surrounding law enforcement agencies would most likely accomplish the desired goal.

Not negotiable - Initial supervisory positions to be filled by existing

police personnel with subsequent vacancies to be filled competitively including correctional officers.

#### Policy No. 3

Negotiable - Limiting police department to 40% of disposable RTC profits.

Not negotiable - Fifty percent of RTC profits to be held in reserve for the first five years. This portion of the policy is considered to be essential to insure that funds are available to operate the RTC in a crisis situation.

#### Policy No. 4

Negotiable - No part of this policy is negotiable. The primary focus of the police department must be public safety and the provision of police services, not the generation of profit.

### NEGOTIATION STRATEGIES FOR KEY STAKEHOLDERS

The first step in negotiating is preparation.<sup>21</sup> The assumptions assigned to the key stakeholders earlier in this paper must be reexamined, as well as the chief negotiator's, as to validity. Further research must be conducted as to the negotiating strategies employed by other police chiefs operating an RTC, successes and failures noted, and recommendations as to how to improve upon the strategies used sought from those persons involved in the negotiations. It should be kept in mind that the goal is to have each participant come out of the process believing their interests have been satisfactorily addressed.<sup>22</sup>

Four stakeholders were identified by the panel as being critical to the successful implementation of the selected policies. They are: the city manager, the city council, the police officers association, and the other city department heads. Below is a brief discussion of the broad

negotiation strategy, specific tactic, and type of leverage to be used with each of the key stakeholders:

City Manager: Leverage: Psychological Influence

Strategies: Tactic: Participation - The city manager is very supportive. All negotiations with him should be handled as a team effort working toward a common goal. It should be stressed to the city manager that both his future and the chief's future are dependent upon the successful operation of the RTC. This will help in getting his support in the negotiations with the city council and the other department heads.

City Council: Leverage: Psychological Influence

Strategies: Tactic - Participation - The city council is also supportive and should be approached in the same manner as the city manager. The city council is a diverse group of individuals each with their own hidden agenda. It will be necessary to identify those agenda items and address them. The city manager will be of invaluable assistance in gaining the council's support of the selected policies. Also, the tactic of association can be employed if the chief can find a city council person from another city operating an RTC who is supportive of the chief's approach.

LPOA: Leverage: Rationality

Strategies: Tactic - Participation - The police officers association will be supportive with reservations. The negotiator should stress that the profits from the

RTC will be used to benefit its members. Also, promotional opportunities will not be available if the RTC is not successful. Should negotiations begin to breakdown with the LPOA, then power can be used as a leverage, however, this should be a last resort tactic.

Other Department Heads:      Leverage: Rationality

Strategies:      Tactic - Forbearance - Early on the other department heads will be resistant and can cause serious problems. It will be necessary to "play along" for a while until the city manager and the city council are firmly in place. Limiting can be a very useful tactic if the other department heads try to bring other issues to the table. After it becomes clear that the main players have accepted the developed policies, the tactic of participation can be employed. The other department heads can become valuable allies once they see that it is to their benefit to do so.

I have not tried to present an all encompassing dissertation on the art of negotiating. My intent here is to give the reader some general guidelines and approaches to negotiating a strategy. A list of the above leverages and strategies is contained in the appendix with an explanation to their use for review (Appendix L).

## **PART THREE**

# **TRANSITION MANAGEMENT**

## **TRANSITION MANAGEMENT**

Having developed a strategic plan for a small police department operating an RTC, the task now is to develop a transition management plan. Transition management concerns the management of that period of time between the present state and the future. Transition is a psychological reorientation process that has three phases. The first phase is the "ending" of the present state. The second phase is called the "neutral zone" and is that time period between the ending of the present state and the beginning of the future state. Phase three is the "beginning" of the future state.<sup>23</sup> Change creates anxiety and uncertainty, therefore, it is important that all those groups and individuals who are affected by the change are committed to the change.<sup>24</sup>

The transition management plan consists of the following: 1) development of a commitment strategy; 2) development of a transition management structure; and 3) identification of technologies/methods to support implementation.

### **Commitment Strategy Development**

#### **IDENTIFICATION OF THE CRITICAL MASS.**

During the development of the strategic plan, a number of stakeholders were identified. In developing the transition management plan, the first step is to develop a strategy to obtain the desired level of commitment from the key players or critical mass from that list of stakeholders. Persons included in the critical mass are those persons who are capable of making the change happen if they support it or who are capable of keeping the change from happening if they oppose it.<sup>25</sup> An actor in the critical mass does not have to be a previously identified



stakeholder.<sup>26</sup> In this case all critical mass actors have been previously identified as stakeholders.

The following five actors have been identified as the critical mass relating to the project:

The Lindsay City Manager

The Lindsay Chief of Police

The Mayor of Lindsay

The Lindsay Police Officers Association

The California Department of Corrections

## COMMITMENT CHARTING

Once the critical mass actors have been identified, each must be assessed as to their present level of commitment and the desired level of commitment.

Chart Two depicts the current level of commitment of each of the actors in the critical mass and the minimum level of commitment needed from each actor to make the change successful.

**CHART 2  
COMMITMENT CHART**

Actors In Critical Mass	BLOCK CHANGE	LET CHANGE HAPPEN	HELP CHANGE HAPPEN	MAKE CHANGE HAPPEN
CITY MANAGER			O ———	——— X
CHIEF OF POLICE				XO
MAYOR		X ———	——— O	
L. P. O. A.		X ———	——— O	
C, D. C.	X ———	———	——— O	

X = Current level of commitment  
O = Level of commitment needed

Each critical mass actors current position and suggested strategies or influence to be employed to move him to the desired level of commitment is discussed below.

City Manager - The Lindsay City Manager was hired five years ago and given a mandate by the City Council to reduce spending and to generate new sources of revenue. To date he has been successful in reducing spending but has had little or no success in generating new sources of revenue. Those reductions in expenditures realized have been at the expense of services to the citizens of Lindsay which has made the city manager very unpopular with the citizens of the city. The manager views the successful operation of an RTC as essential to the financial future of the city. He is totally committed to make the change happen.

Due to the manager's unpopularity, it is desirable to move him from the "make change happen" position to the "help change happen" position. To achieve this move, it will be necessary to collaborate with the mayor of the city who has great influence on the manager and who is very aware of the manager's unpopularity. The manager must be convinced that it is in his own best interest that he assume a supportive rather than a lead role.

Chief of Police - The Chief of Police is motivated to successfully operate an RTC. He views this change as an opportunity to improve the wages, career opportunities and working conditions for his personnel. Also, his personal career would be enhanced if he is able to establish a successful and profitable RTC. The chief is in the "make change happen" position and should remain there.

Mayor of the City - The mayor of the City of Lindsay has only been in office for a short time and is committed to improving the financial

condition of the city. He views the operation of an RTC as an excellent source of revenue but is concerned about the political ramification and also the impact an RTC could have on the police department. The mayor is a strong supporter of the police department and will oppose any plan which may have a negative impact on the quality of police services. Therefore he is in the "let change happen" position. It is desirable that the mayor take a more active role and move to the "help change happen" position. To accomplish this move, the chief of police will meet with the mayor and stress that the city employees are counting on him. Also, mayors from other cities having police departments which operate RTC's can be called upon to share their views and to reassure the mayor.

Lindsay P O A - The Lindsay Police Officers Association has long held the position that they are underpaid for their services and that the city intends to keep it that way. As a unit, they do not trust the city manager and do not believe he will use profits from the RTC to improve their wages and working conditions. The LPOA is very supportive of the chief of police and believe that he will fight for them when funds are available from the RTC. The LPOA also has a serious concern about police officers being used as correctional officers. Their position is that if they wanted to work in a jail, they would go to work for the sheriff's office or the state Department of Corrections.

The LPOA is in the "let change happen" position but it is necessary to move them to the "help change happen" position. This can be accomplished by the chief of police meeting with the president of the police officers association and relating to him the benefits of the successful operation of the RTC to the police officer's association. Also, the chief can assure the police officers association that he would not assign police officers to work the RTC as correctional officers. Police

officers from other small cities which operate an RTC can be brought in to meet with the POA and discuss the impact of the RTC on their police departments.

CDC - The California Department of Corrections is in the "block change" position and must be moved to the "help change happen" position. CDC, as stated earlier in this paper, holds the opinion that police departments should not be in the corrections business. CDC should be approached from the point of view of the inevitability of city police departments operating RTC's. It should be stressed that state law sanctions the operation of RTC's by cities and that the trend has been and will continue to be toward contracting with cities and counties to operate RTC's. It should be pointed out to the state's lead person for RTC contracts that the more successful city police departments are at operating RTC's, the more he will appear to be competent.

## **DEVELOPING A TRANSITION MANAGEMENT STRUCTURE**

### **CHANGE MANAGEMENT STRUCTURE**

Early on in the transition period, the change management structure to be employed is to have the chief executive serve as the project manager. As a great deal of the chief's time will be consumed by the RTC during this time period, it will be necessary for the chief to delegate much of the day to day operations of the police department to the department's lieutenant who serves as second in command to the chief.

This management structure is most desirable early on as the chief has the authority and clout to get things done and has very good working relationships with other city staff. This last point is very important as the strategic plan addressed in part two of this paper calls for close

cooperation and communication with other city department heads. Also, the present organizational structure will be minimally affected by the change. The addition of the RTC to the police department expands the chief's span of control but has no direct impact on other police personnel except for those who desire to promote to the initial supervisory positions in the RTC. In essence, a new tier will be added to the present organizational chart which will be separate from existing tiers.

This management structure will be in place until an administrator for the RTC has been recruited and hired. At that time the transition management structure will be changed to that of a "diagonal slice." The "diagonal slice" management structure includes members at various levels of the organization and is conducive to generating broad support for the change to be implemented.

The "diagonal slice" will be comprised of the individuals in the following job positions who will serve as the transition management team:

Chief of Police	City Finance Director
RTC Administrator	Police Sergeant
Police Lieutenant	LPOA President

The chief of police shall serve as the project manager and have final authority on all decisions and issues.

The RTC administrator will serve as the chairperson of the committee and report directly to the chief of police. The RTC administrator will have the authority and responsibility for implementing the strategic plan.

The police lieutenant will serve as the co-chairperson of the committee and will assist in guiding the change to the future state. The police lieutenant will also assist in fixing the responsibilities of all

committee members and follow up to insure that each member is accomplishing his assigned task.

The city finance director will serve as liaison between the committee and other city department heads. The finance director has been chosen to fill this role as he has an excellent working and a close personal relationship with each of the city's department heads and the city manager of the model city (Lindsay). Also, the finance director will be of valuable service in addressing budget concerns.

The police sergeant will provide supervision for RTC employees as they are hired and coordinate orientation and training activities. The sergeant will also assist with the preparation of necessary policies and procedures as they relate to the strategic plan.

The president of the police officers association will serve on the committee to insure that the concerns of the association are addressed. It will be the responsibility of the POA president to generate input from the rank and file of the police department. By having the POA president serve on the committee, the meet and confer process shall be smoother and more productive.

### **TECHNOLOGIES/METHODS TO SUPPORT IMPLEMENTATION**

It cannot be stressed enough how important it is to manage the change process. If the transition period is not managed properly the best of plans has little chance for success. The project manager must be constantly on the alert for signs that the transition is not progressing as desired.

The signs of unmanaged transition are:

- Self-absorption
- Blocked communication

- Loss of team spirit
- Anxiety
  - Loss of adaptability
  - Loss of energy and motivation
  - Vulnerability to suggestion
- Resentment
  - Malicious rumors
  - Passive-Aggressive behavior
  - Outright sabotage
- Guilt
  - Loss of self-esteem
  - Defensiveness and blaming
- Stress
  - More illness and injuries
  - Increased use of alcohol and drugs
  - More "problems" at home.<sup>27</sup>

Should the project manager begin to observe one or more of the above signs in his personnel or himself, immediate steps must be taken to get the project back on track.

Initially it can be expected that there will be a great deal of anxiety on the part of employees. It will be important for the project manager to open lines of communication to address the concerns of employees and their fear of the unknown. Also, after the RTC employees are brought on board, it will be essential that everyone knows what is going on, what is expected of them, and where the organization is headed. To assist the project manager in managing the change, a number of technologies and methods to support the implementation of the strategic plan may be employed.

The technologies which will be used are:

**Communication of the vision** - To secure the support necessary to effect the change it is important that all concerned know why the change is being made and what is to be accomplished. The project manager must clearly define his vision early on and make every effort to get a buy-in from the members of the organization and other concerned or affected parties. The communication of the vision will be especially important for those persons hired to manage and operate the RTC.

**Team building workshops** - Once the transition management team is formed, a series of team building work shops should be held to help pull everyone together working toward a common goal. These workshops will also be used for **goal setting** and **conflict resolution** which are a very important function of the transition management team.

**Rumor control** - The project manager should put into effect mechanisms to control rumors. A newsletter or hot-line can be used for this purpose. Rumors are generally the result of a lack of information and can disrupt or destroy the change process.<sup>28</sup> By having a rumor control mechanism in place early on, the project manager can stop erroneous information from taking on a life of its own and creating problems which may be impossible to solve.

**Responsibility charting** - To assist in clarifying the role of all the transition management team members, the technique of RASI charting would be employed. RASI makes it clear as to who has the responsibility to perform a task, who has the authority, who provides support, and who should be informed.<sup>29</sup> This technique will help to reduce uncertainty, interpersonal conflict, and save time and energy by eliminating duplication of effort.<sup>30</sup> A responsibility chart has been accomplished for



the model agency's transition management team and is included in the appendix (Appendix M).

**Evaluation and feedback** - Mechanisms must be put into place to evaluate the effectiveness of the implemented strategies. Informal meetings should be held periodically with those persons affected by decisions to determine if there is a better approach to be taken. Also, a suggestion box could be put in place to allow for anonymous feedback.

**Milestone recognition** - A time line should be developed for the entire change process and specific milestones identified. As a milestone is reached, there should be a mechanism in place to recognize, announce, and celebrate the achievement thereof. This will keep everyone informed of progress and focused on the next milestone.

### **SUMMARY**

Affecting change in an organization is a difficult task under the best of circumstances. However, if the manager does not take into account all of those things which could adversely impact the proposed change, he is doomed to failure. Through the development and implementation of a transition management plan, the manager can avoid those pitfalls which could block the change and facilitate a much smoother organizational transition.

## **CONCLUSIONS, RECOMMENDATIONS, AND FUTURE IMPLICATIONS**

What impact will operating an RTC facility have on small police departments by the year 2001? It can be concluded from the research of this issue that the answer to the foregoing question is in the hands of the law enforcement executive charged with the development and operation of an RTC.

The operation of an RTC can have an impact on a small police department ranging from disaster to Godsend. A well managed, professionally administered, RTC can provide revenues to a financially strapped small city which will enable it not only to upgrade and expand its police force, but to improve the quality of services to all of its citizens.

The concept of cities contracting to operate RTC's is designed to save the State of California significantly in terms of costs to house inmates while at the same time generating revenue for the contracting city. The success of this endeavor is largely dependent on the law enforcement executive's ability to guide his organization through the change process in an orderly manner.

The techniques presented in this paper addressing futures forecasting, strategic planning, and transition management can serve as a very valuable tool to the law enforcement executive in guiding his organization through the change process. The policies developed in this paper are specific to the model agency. However, the process can be applied to any small city police department. Circumstances, players, and problems may vary but the techniques and process remain constant and if followed, can assist the law enforcement executive in realizing the desired future for his department.

The research revealed that the impact of operating an RTC on the structure of the organization should be negligible. The operation of an RTC by a small police department can be implemented without altering the existing structure of the organization other than to add a new tier. The operation of an RTC should be separate and apart from the police department. The chief of police can serve as the "department head" but there should be no intermingling of police and correctional services. To do so can create confusion as to role identification and resentment on the part of those police employees having no interest in corrections.

While conducting the research it was observed that those RTC's being administered by a civilian with a corrections background are better organized with personnel being less confused than in those RTC's operated by police personnel. It is therefore concluded that if a small police department is to successfully and profitably operate an RTC, the chief of police would be wise to recruit a facility administrator with a background in corrections.

The impact of operating an RTC on personnel retention is a major concern of every RTC administrator interviewed for this paper. The

general concern was that the recruitment and training of new employees for the RTC would be a continuous process. The research indicated that the major cost savings in housing inmates realized by cities and counties compared to state costs is due to lower wages being paid to city and county employees. The costs associated with recruitment and training of RTC employees can significantly reduce RTC revenues. Further, if the law enforcement executive elects to utilize sworn police officers as RTC correctional officers and supervisors he can expect the turn over rate of police personnel to increase substantially.

The problem of employee turn over can be minimized if the law enforcement executive implements policies early on addressing salaries and benefits, proactive recruitment and training programs, and the creation of a career ladder for RTC employees. There are many other strategies which can be employed to reduce employee turn over but that is a study in itself and will not be addressed here. Suffice it to say that the law enforcement executive administering an RTC will have to deal effectively with personnel retention issues if he is to realize any degree of success.

Through the successful operation of an RTC, a small police department will in fact become a major source of revenue to the city it serves. The impact of this fact could be a two edged sword. On one hand the police department benefits from the availability of additional funding for equipment, training, and personnel. On the other hand the police department could lose focus of its primary mission, that being the provision of police services.

Throughout the research process it was found that those police executives and managers who were involved in the operation of an RTC

were consumed with the profit generating potential of the RTC. It appeared that all other concerns were secondary to the generation of profit. In my view, this has very serious implications in terms of setting priorities for a law enforcement agency. Law enforcement executives have long resisted attempts by cities to use their police departments as profit centers. However, in operating an RTC, these same administrators appear to have shifted their focus toward the generation of revenues. In contrast, those RTC administrators who came from a corrections background were more focussed on personnel, safety, and operational issues rather than on profit. This fact strengthens the earlier recommendation that the law enforcement executive recruit a facility administrator who has a background in corrections.

Another impact of a small police department becoming a major source of revenue to the city it serves, concerns the relationships between the police department and other city departments. During the research on the issue, several police administrators were asked what the impact of their department becoming a profit center had on their relations with other department heads. Each answered that there was a great deal of jealousy and much in-fighting over anticipated revenues. No one could provide a suggestion as to how this problem could be overcome but all believed it to be a very serious problem for the city.

The following recommendations are presented to alleviate the foregoing problems:

1. The operation of the police department and the RTC should be separate and apart from each other.
2. The chief of police should communicate to his personnel, the city, and the citizens of his city, that the first priority of the

police department shall be the provision of quality police service.

3. All city department heads should be involved in the development of the RTC early on and a "city team" approach fostered.
4. The city manager and city council should make it clear that RTC profits will be treated as any other general fund revenues. All city departments will share in the use of additional revenues as city priorities dictate.
5. A portion, 50% if possible, of RTC profits should be allowed to accumulate over a period of five years to build a strong cash reserve for the city.
6. Salaries and fringe benefits for police and correction (RTC) personnel should be comparable to surrounding law enforcement agencies.
7. A proactive recruitment program should be put in place and an active list of potential employees maintained.
8. A citizens advisory committee should be formed early on to insure that the needs and concerns of citizens are addressed.

The above recommendations do not address every possible concern but do stress the importance of having a plan in place long before the first dollar of profit is realized.

The operation of an RTC by a small police department can be a challenging and rewarding experience for the law enforcement executive if he has a well structured plan of operation to serve as a guide. Not every possible circumstance or situation is, and could not, be addressed in this paper, I believe that I have provided a viable model from which the law

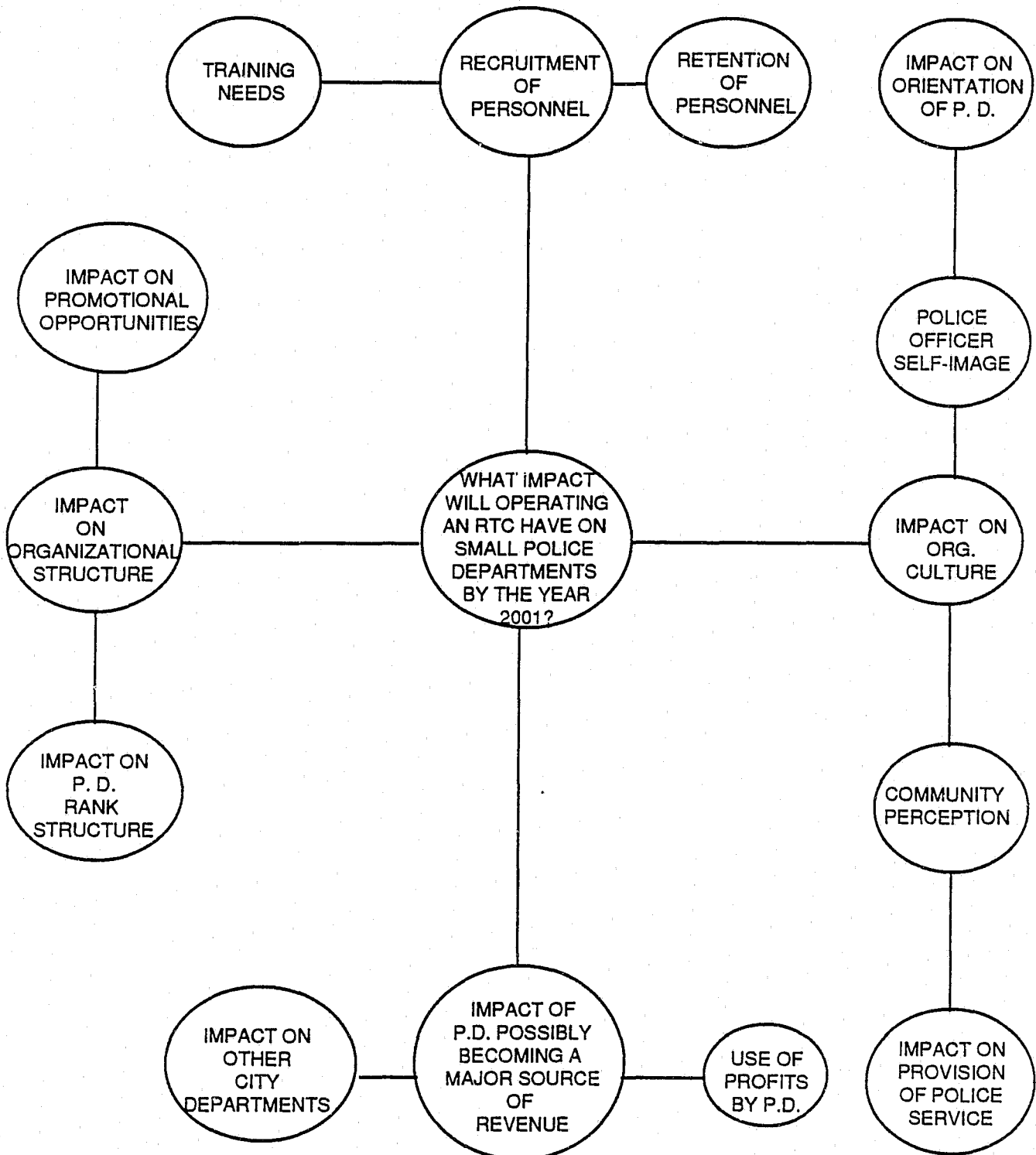
enforcement executive can build his own plan tailored to his specific needs.

During the research, several areas of concern surfaced that were not addressed in this paper due to the scope of the study. The following issues are recommended for further study:

1. What impact will operating an RTC have on the culture of a small police department?
2. What will be the impact of a small police department operating an RTC on citizen's perception of their police department?
3. How can a small police department operating an RTC compete with the State Department of Corrections for qualified correctional officer candidates?
4. What impact will the aging work force have on a small police department's recruitment efforts?
5. Is job sharing a viable program for RTC employees?

The above list represents only a few of the issues which warrant further study.

## APPENDIX A FUTURES WHEEL





**APPENDIX B**  
**RTC ADMINISTRATORS AND MANAGERS**  
**INTERVIEWED FOR STUDY**

Charles Scott, Chief of Police, City of Taft RTC  
Gary Knox, Chief of Police, Retired, Shafter RTC  
Greg Greeson, Chief of Police, City of Shafter RTC  
Leroy Anderson, Administrator, Taft RTC  
Raymond Penrod, Lieutenant, Manager Delano RTC  
Jerry Gruver, Sergeant, Delano RTC  
John Coute, Administrator, City of Coalinga RTC  
Wally Smith, Administrator, City of Folsom RTC  
Melvin Coley, Sheriff, Tulare County RTC  
Charles Kitchen, Asst. Administrator, City of Folsom RTC  
Sammy Pearson, Corporal, City of Delano RTC  
Dennis Gardemeyer, Developer, Taft & Shafter RTC's  
Steven Kinsey, City Councilman, City of Delano  
Mickey Chernekoff, City Councilman, City of Delano  
Ed Combs, Commander, City of Delano, RTC

## **APPENDIX C**

### **NGT PANEL MEMBERS**

Chief of Police

Chief of Police

Police Lieutenant, Station Commander

Police Lieutenant, Watch Commander

Police Lieutenant, Administrators Services Commander

Finance Director, Small City

Public Works Director, Small City

High School Principal

Police Officer, LPOA President

## **APPENDIX D**

### **CANDIDATE TRENDS**

1. Revenue available to small cities
2. Cost of housing inmates to State of California
3. RTC Contracts awarded
4. Parole violators returned to custody
5. State unemployment
6. Drug enforcement at State level
7. Retention rate of RTC employees
8. Length of prison sentences
9. Inmate population
10. Corruption among correctional officers
11. Police corruption
12. Retention of police officers by small cities
13. Small police department salaries
14. Citizen acceptance of correctional facilities
15. Crime in California
16. Privatization of prisons
17. Profits from RTC operations
18. State spending on correctional facilities
19. Career criminal programs

# **APPENDIX E** **TREND SCREENING FORM**

CANDIDATE TREND IN RANK ORDER		FOR PURPOSES OF TOP-LEVEL STRATEGIC PLANNING HOW VALUABLE WOULD IT BE TO HAVE A REALLY GOOD LONG-RANGE FORECAST OF THE TREND?				
#		Priceless	Very Helpful	Helpful	Not Very Helpful	Worthless
1	INMATE POPULATION		X			
2	PAROLE VIOLATORS RETURNED TO CUSTODY	X				
3	RETENTION RATE OF RTC EMPLOYEES	X				
4	REVENUE AVAILABLE TO SMALL CITIES			X		
5	COST OF HOUSING INMATES BY STATE		X			

PANEL ESTIMATES  
N=9

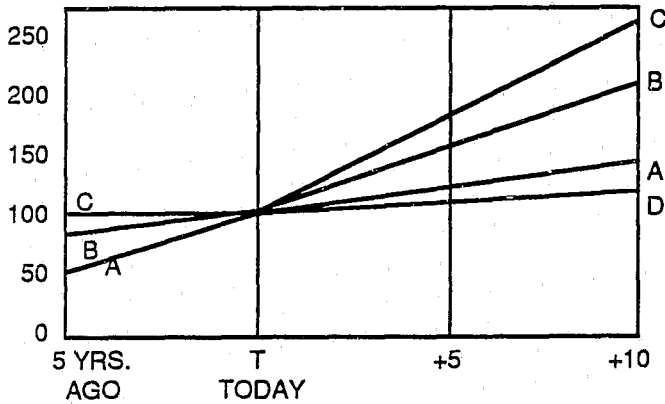
## **APPENDIX F**

### **CANDIDATE EVENTS**

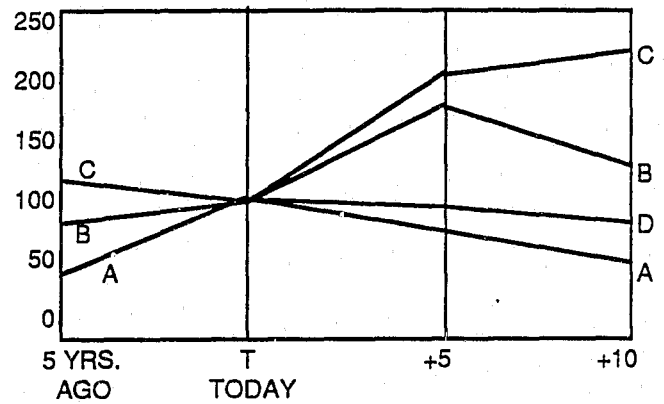
1. Use of electronic jails mandated by state
2. Rose Bird elected governor of state
3. RTC employees arrested for drug smuggling
4. U. S. declares war on U. S. S. R.
5. Japanese firms enter prison operation business
6. Death penalty imposed on repeat drug offenders
7. Major riots erupt in California prisons
8. State of California increases correctional officers by 30%
9. City of Lindsay disincorporates
10. State decriminalizes the use of drugs
11. Drug developed to eliminate anti-social behavior
12. State of California gives penal institutions to counties
13. U. S. economy falls into another "Great Depression"
14. S B 1591 repealed
15. California secedes from U. S.
16. Federal government takes over operation of all prisons
17. U. S. Supreme Court eliminates death as a punishment
18. State declares one year moratorium on paying debts

## APPENDIX G TREND FORECAST GRAPHS

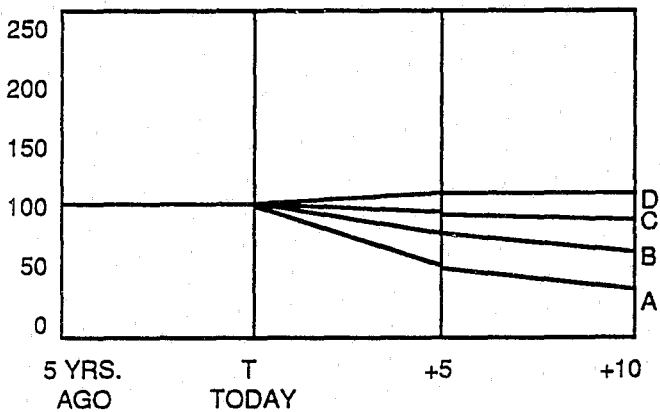
TREND 1  
INMATE POPULATION



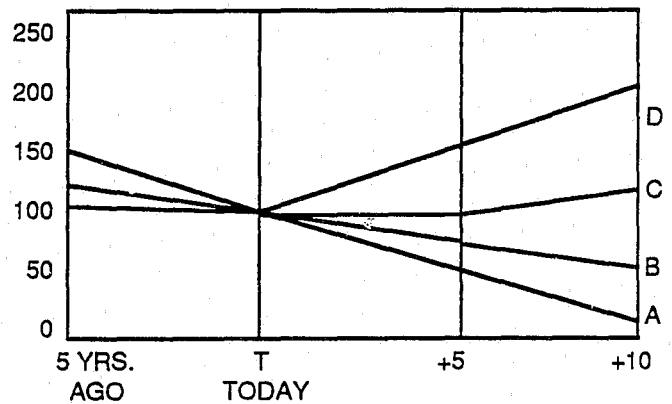
TREND 2  
PAROLE VIOLATORS RETURNED TO CUSTODY



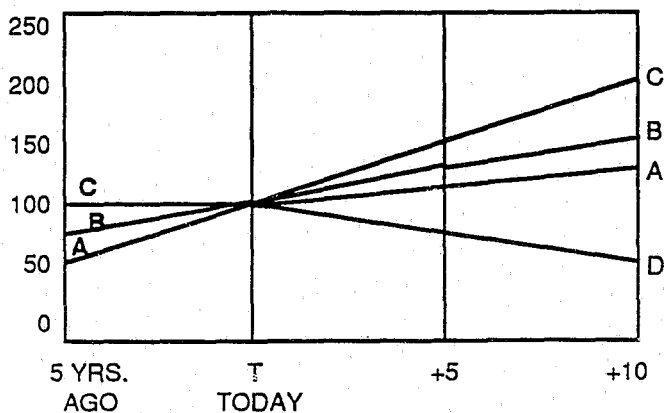
TREND 3  
RETENTION RATE OF RTC EMPLOYEES



TREND 4  
REVENUE AVAILABLE TO SMALL CITIES



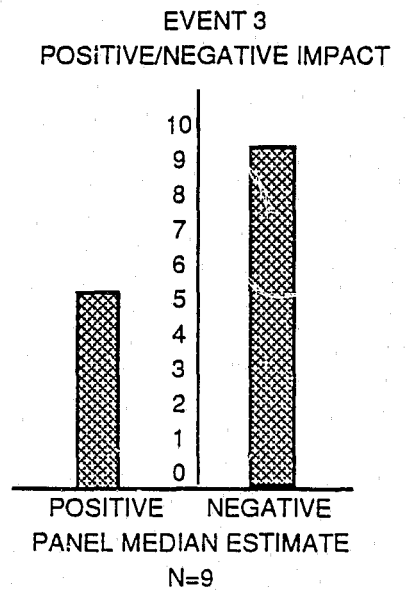
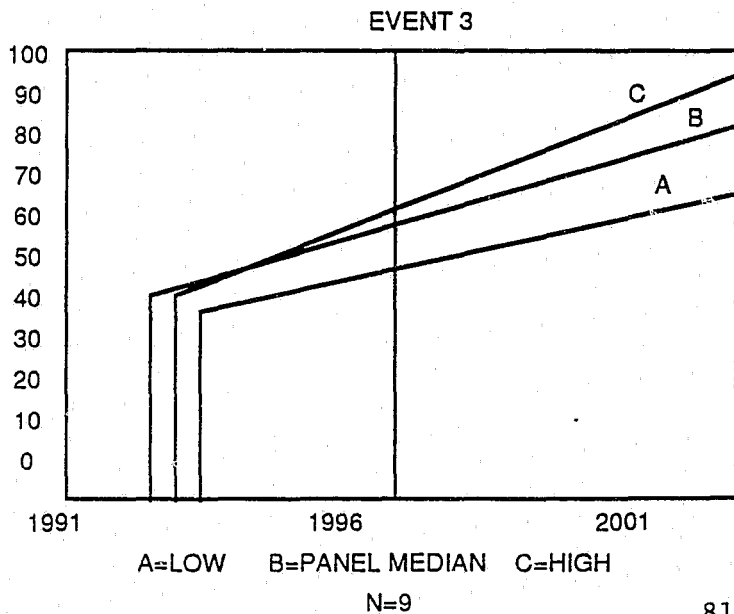
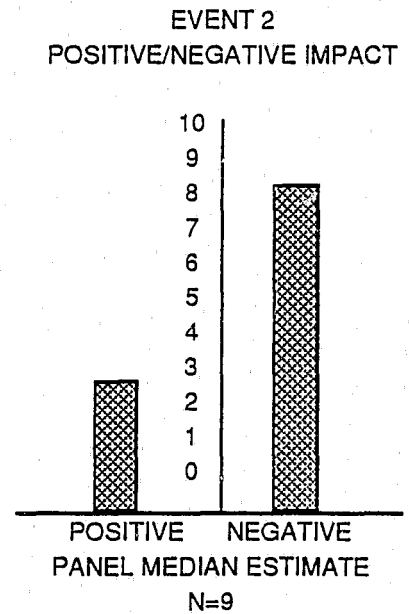
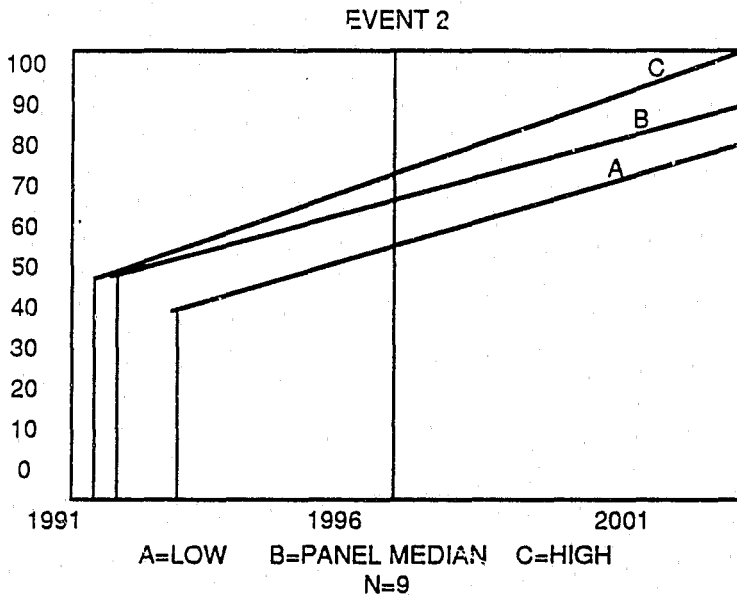
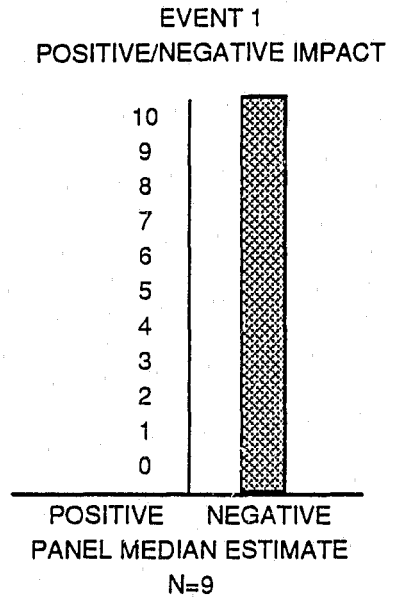
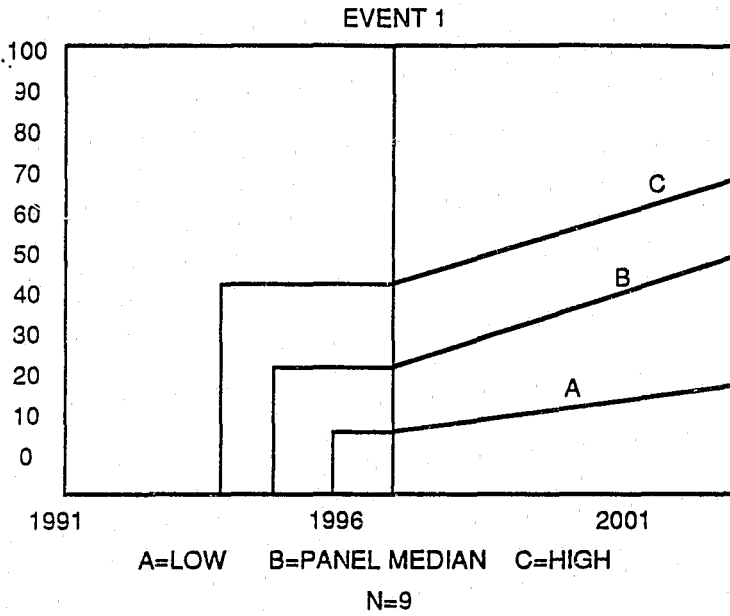
TREND 5  
COST OF HOUSING INMATES BY STATE



### LEGEND

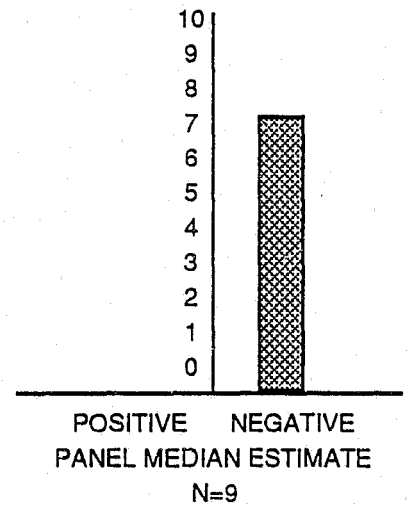
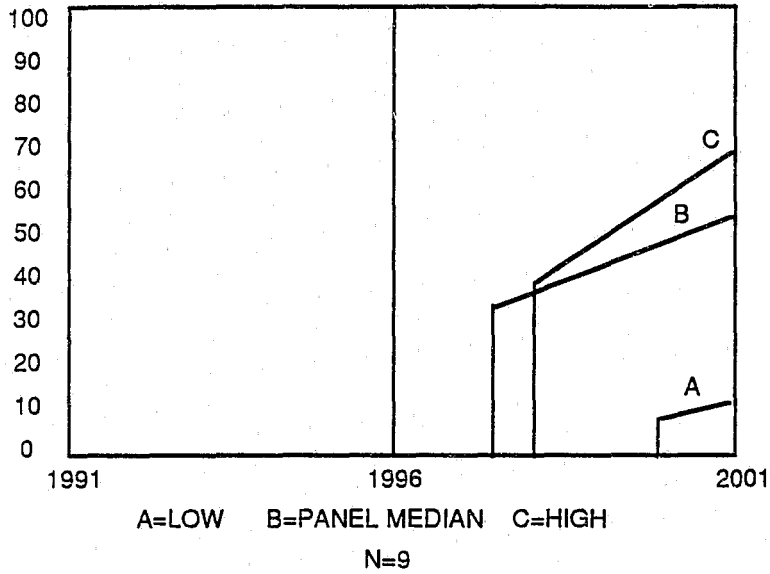
- A= LOW ESTIMATE
- B= PANEL MEDIAN ESTIMATE (N=9)
- C= HIGH ESTIMATES
- D= PANEL MEDIAN "SHOULD BE":

## APPENDIX H EVENT FORECAST GRAPHS

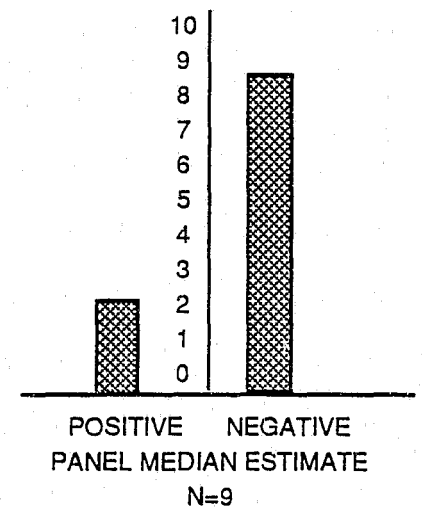
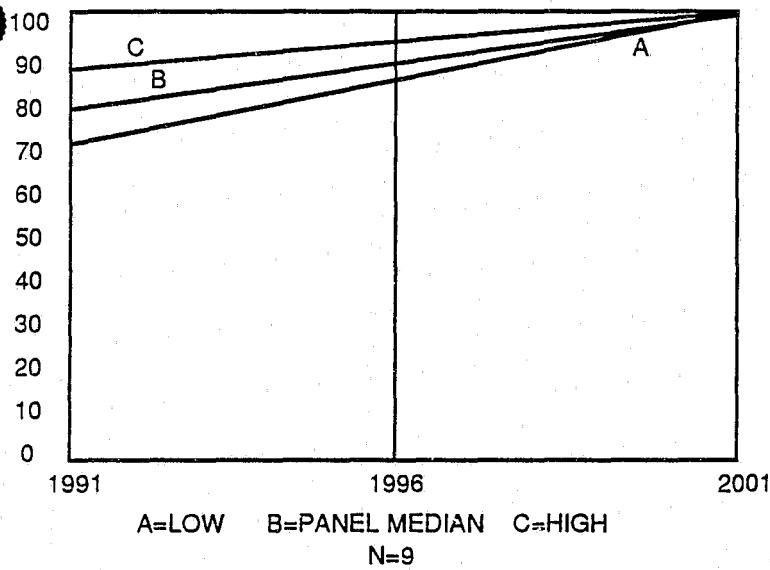


# **APPENDIX H CONTINUED** **EVENT FORECAST GRAPHS**

**EVENT 4**



**EVENT 5**



A = Low  
 B = Panel Median  
 C = High



## APPENDIX I

### CAPABILITY/READINESS FOR CHANGE

Each item evaluated as to what is encouraged in the model agency.

I	Custodial	-	rejects change
II	Production	-	adapts to minor change
III	Marketing	-	seeks familiar change
IV	Strategic	-	seeks related change
V	Flexible	-	seeks novel change

CATEGORY	I	II	III	IV	V
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#### Top Managers

Mentality/Personality			X		
Skills/Talents				X	
Knowledge/Education				X	

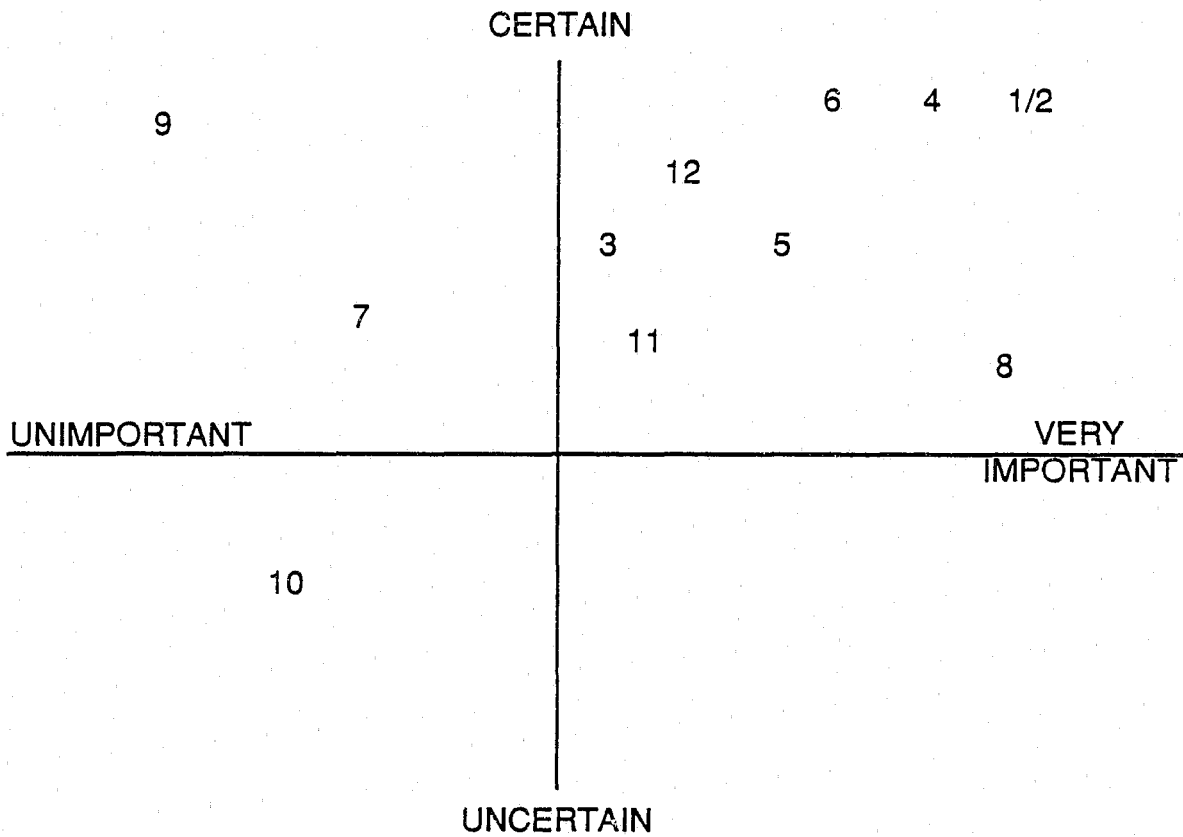
#### Organizational Climate

Culture/Norms		X			
Rewards/Incentives			X		
Power Structure			X		

#### Organizational Competence

Structure			X		
Resources			X		
Middle Management				X	
Line Personnel				X	

## APPENDIX J ASSUMPTION MAP



1. Chief of Police
2. City Manager
3. CDC
4. Lindsay City Council
5. Citizens of Lindsay
6. Lindsay POA

7. TCSO
8. Hispanics
9. CCPOA
10. Senior Citizens
11. Chamber of Commerce
12. Other Department Heads

## **APPENDIX K MODIFIED POLICY DELPHI PANEL**

Police Lieutenant  
Police Sergeant  
Police Officer  
City Finance Director  
City Public Works Supervisor  
Police Department Administrative Secretary  
High School Principal  
City Public Works Director

## **APPENDIX L**

### **NEGOTIATING LEVERAGES AND STRATEGIES**

#### **LEVERAGES**

**RATIONALITY** - Influence and persuasion are gained through rational arguments based on the facts.

Rationality as leverage assumes people are logical and guided by reason. Through knowledge, facts, and orderly decision making, negotiators gain leverage by locating and correcting information gaps and faulty reasoning.

**PSYCHOLOGICAL - INFLUENCE** - Negotiators gain psychological influence by paying attention not only to people's ideas, but also to their feelings about and commitments to certain positions and ways of behaving.

In dealing with people whom negotiators want to influence, negotiators try to find out their psychological needs, what they believe in, and what's important to their lives.

**POWER** - Power is the capacity of a negotiator to modify the conduct of another person through the use of sanctions. The sanctions can be the use of legal, political and economic rewards and penalties. Conflict is resolved through the direct or indirect application of these sanctions.

The use of this type of leverage is based on the assumption that people are influenced through political and economical interests.

#### **STRATEGIES**

**FORBEARANCE** - "Waiting in Haste" This strategy is used when there are elements which would normally provoke one to anger and impetuous action. Simply, this strategy is putting up with the other party until the time to act is right.

**ASSOCIATION** - When using this strategy, the negotiator associates or identifies himself with other parties to lend legitimacy to himself and his position.

- PARTICIPATION - "We are friends" When using this strategy the negotiator approaches his adversary as though they were allies working toward a common goal.
- LIMITING - Limit the discussion to what is being negotiated. Do not allow other issues to be brought in.

NOTE: The above strategies and many others are found in the book "The Art of Negotiating" by Gerard I. Nierenberg. Pocket Books, New York, N. Y. 1981

# **APPENDIX M** **RESPONSIBILITY CHART**

R = Responsibility (not necessarily authority)  
A = Approval (right to veto)  
S = Support (put resources toward)  
I = Inform (to be consulted)  
- = Irrelevant to this item

## **ACTORS**

DECISION	CHIEF OF POLICE	RTC ADMINISTRATOR	POLICE LT.	FINANCE DIRECTOR	POLICE SGT.	P.O.A. PRES.	
POLICY DEVELOPMENT	A	R	S	I	S	I	
PERSONNEL RECRUITMENT & TRAINING	A	R	S	-	S	I	
PROCEDURES MANUAL DEVELOPMENT	A	A	R	-	S	I	
BUDGET DEVELOPMENT	A	S	S	R	I	-	
EVALUATION PROCESS	A	S	R	-	S	-	
ESTABLISHMENT OF TIME LINES	A	R	S	S	S	I	
MEET AND CONFER	A	A	I	-	I	S	

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