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**EVALUATING POLICE EFFECTIVENESS
BY THE YEAR 2001**

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BY

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COMMAND COLLEGE CLASS XIII

PEACE OFFICER STANDARDS AND TRAINING
(POST)

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).

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BY THE YEAR 2001

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PEACE OFFICER STANDARDS AND TRAINING
(POST)
SACRAMENTO, CALIFORNIA
FEBRUARY 1991

EXECUTIVE SUMMARY

SECTION ONE: A FUTURES STUDY

In city after city, the traditional view of law enforcement as independent, professional crime fighters is giving way to a new vision of police as cooperative partners with the community in preserving the quality of life. This shift to community policing requires substantial changes in both the operation and philosophy of police departments. In the traditional model, police focused their activities toward achieving quantifiable outputs such as: persons arrested, crimes committed, or calls answered. In the new community policing model, police focus attention on the often intangible outcomes of their activities such as: crimes prevented or problem solved.

The main issue of the study is: What process will be used to evaluate the effectiveness of the new community policing strategies by the year 2001? The sub-issue questions are: (1) What types of services will community policing agencies provide? (2) Which of these services will be evaluated to measure effectiveness? and (3) What criteria will be used to evaluate these services?

The futures study portion of the research involved a literature scan and interviews with experts to identify and examine significant trends and events which impact the issue. Three of the most important issued related trends were identified as: 1) The level of demand for enforcement related services, 2) The level of demand for non-enforcement related services, and 3) The level of public involvement in police policymaking. The future of these trends and events were forecasted and used in the development of three scenarios. The normative scenario was chosen for further study. It describes a desired and attainable future situation in which the police and community work together in partnership establishing goals and assessing the effectiveness of police efforts.

SECTION TWO - A STRATEGIC PLAN

The researcher selected the Santa Ana Police Department to serve as a model for the development of a strategic plan designed to achieve the desired future of the normative scenario. The organization's environmental strengths, weaknesses, threats and opportunities are identified and evaluated. Significant stakeholders such as: the Chief of Police, City Manager, and Editor of the local newspaper are examined. Specific policies are developed and a Task Force strategy is recommended to achieve the goal.

SECTION THREE - TRANSITION MANAGEMENT

The current level of commitment of the critical mass stakeholders is evaluated and strategies to move their commitment to a desired position is presented. The critical mass stakeholders are the Chief of Police, City Manager, and president of the neighborhood association. Some negotiations with stakeholders will be necessary to overcome resistance and provide an acceptable infrastructure for the change process. Implementation technologies include responsibility charting, instilling the vision, and team building.

SECTION FOUR - CONCLUSIONS AND RECOMMENDATIONS

Main issue: The researcher concluded that the process for evaluating effectiveness under a community policing strategy should parallel that of community policing itself. This process should consist of three basic components: 1) uniqueness to the individual situation, 2) oriented to results or outcomes, and 3) determined cooperatively by the police and the community they serve.

To answer the sub-issue of what type of service will law enforcement provide, the researcher concluded that law enforcement should expect continuous increases in both enforcement related and non-enforcement related services, however, substantially greater increases in non-enforcement activities are projected.

To answer the sub-issue of what services will be measured, the researcher concluded that traditional output measurements will be used in conjunction with new outcome measurements such as problem solving and community satisfaction.

To address the sub-issue of what criteria will be evaluated, the researcher concluded that future evaluation criteria will be dictated by the outcome of activities rather than the output.

The recommended actions include: regular administration of community sensing mechanisms and establishing police community relationships as a high organizational priority.

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INTRODUCTION

FRAMING THE ISSUE

WHAT PROCESSES WILL BE USED TO
EVALUATE LAW ENFORCEMENT EFFECTIVENESS
BY THE YEAR 2001?

INTRODUCTION

As the decade of the 90's unfolds, dramatic changes in the public's expectation of law enforcement are significantly altering the role of police in their communities. In city after city, a new vision of policing is taking hold of progressive police and concerned citizens. No longer is the police mission seen exclusively in terms of controlling crime. Crime prevention, fear reduction, order maintenance, social crisis management and preserving the quality of life are becoming integral components of the new area of policing. In his publication, "Police and Communities: The Quiet Revolution," Dr. George L. Kelling of the University of Wisconsin calls this trend, "A quiet revolution reshaping American policing."¹

What is causing this "revolution" in American policing? Kelling identifies three main forces driving the change:

1. Citizen Disenchantment with Police Services - There is widespread disenchantment with police tactics that continue to keep police officers remote and distant from citizens. Communities of all social, economic, and ethnic backgrounds are demanding increased collaboration with police in the determination of police priorities in their neighborhoods.
2. Police Research - The 1970's research about police effectiveness was another stimulus to change. Research

¹ George L. Kelling, Police and Communities: The Quiet Revolution, National Institute of Justice, June 1988

about preventative patrol, rapid response to calls for service and investigative work - the three mainstays of police tactics - was uniformly discouraging. The research demonstrated that these tactics had little effect on crime, citizen levels of fear, or citizen satisfaction.

3. Frustration with the Traditional Role of the Patrol Officer - Increasingly, patrol officers have demonstrated a frustration with their traditional role in the police agency. Despite the widely held notion that patrol is the backbone of policing, many police officers and citizens alike regard this assignment as a mere training ground for future detectives or promotions.

There is one common theme which transcends these driving forces of change in the role of policing; it is a basic desire on the part of citizens and police alike to preserve the quality of neighborhood life. Former California Governor Edmund G. "Pat" Brown acknowledged this phenomenon as the major challenge facing California government in the 1990's, when he had this to say, "As I see it, the single greatest problem over the next 20 years will be keeping the quality of life in the state from deteriorating any further than it already has."² It is this increasing public concern for improving the "quality of life" which is changing the focus of policing from a narrow, enforcement-based perspective, to a broad-spectrum full service-orientation.

For the past 40 years, policing has been guided by a strategy that emphasized crime fighting as the primary task of the police. Police viewed their role as the thin blue line defending neighborhoods and communities from the ravages of crime and disorder. While the public widely recognizes the enforcement of rules and regulations as a primary function of law enforcement,

² Edmund G. Pat Brown, To Preserve the Quality of Life, California Journal, January 1990

many citizens and police officials alike have become increasingly aware of what Harvard University Professor Mark H. Moore notes in his publication Beyond Command and Control, "...random police patrols, rapid response to calls for service, and retrospective criminal investigations are limited in terms of their potential impact on crime."³ In truth, the enforcement of laws comprises only a small segment of the activities conducted by police officers and has little impact upon the community's overall quality of life.

Across the nation police officials have come to the realization that in many cases it is the non-enforcement and so-called service related activities of their officers which tend to have the greatest impact on a community's sense of well being and overall quality of life. Perhaps it is this factor, more than any other, which has been the catalyst for major change in the focus of police.

While citizens readily admit that crime is a problem, they are often just as concerned about the daily incivilities that disrupt and often destroy neighborhood social, commercial, and political life. This premise became vividly evident to Newport News, Virginia, Police Detective Tony Duke as he investigated a rash of burglaries occurring in a local crime-ridden housing project. After many hours canvassing the projects and interviewing dozens of victims, residents, and witnesses, Duke concluded that people were "...worried about the burglaries - but they were just as concerned

³ Mark H. Moore and Darrel W. Stephens, Beyond Command and Control: The Strategic Management of Police Departments, Police Executive Research Forum, 1991

about the physical deterioration of the project." ⁴

Repeated observations of this nature prompted Darrel Stephens, former Chief of Newport News, Virginia, and now Executive Director of the Police Executive Research Forum, to comment, "We were trying to get people to be concerned about crime, never understanding that issues of daily living had a much greater impact on citizens." ⁵

These experiences, like many others of law enforcement agencies across the nation, have consistently demonstrated what Michigan State University Professor Robert Trojanowicz observed in his publication, Community Policing, "people tend to worry as much or more about seemingly petty problems, such as vandalism or barking dogs, as they do about crimes like murder, because they realize that the threat of being murdered is relatively small, but the dog keeps them up all night so that they go to work exhausted is a real and immediate problem that directly affects their quality of life."⁶

New strategies are being developed for law enforcement to respond to those quality of life issues which dominate the concerns of our communities. Community oriented or neighborhood based policing are examples of the new strategies that law enforcement is adopting to respond to the growing concerns. These strategies suggest that to

⁴ James Q. Wilson and George L. Kelling, Making Neighborhoods Safe, Atlantic Monthly, February 1989

⁵ George L. Kelling, Police and Communities: The Quiet Revolution, National Institute of Justice, June 1988

⁶ Robert Trojanowicz and Bonnie Bucqueroux, Community Policing - A Contemporary Perspective, Anderson Publishing, 1990

effectively address the desires of the public, the police must extend their involvement with the community and focus their resources on the delivery of a broad range of safety services which are specifically geared to respond to the individual and unique concerns of each community.

The widespread growth and acceptance of these new policing strategies is graphically illustrated by the actions of two of the most prominent police departments in the United States, the New York City Police Department and the Los Angeles Police Department. In Los Angeles the highly regarded Christopher Commission Report concluded that "Although community based policing is not a panacea for the problem of crime in society, the LAPD should carefully implement this model on a city wide basis."⁷

The New York City Police Department has recently concluded an extensive analysis of policing across the nation and has concluded that community policing would be the guiding philosophy for the 1990's. This is reaffirmed as the main goal of the department: "The Department's goal is to have every section of the city, every neighborhood and every street, policed by officers working under the community policing philosophy."⁸

The nation wide recognition of community policing as the dominate strategy of law enforcement which prompted Michigan State University professor Robert Trojanowicz to declare "...community

⁷ Warren Christopher, Independent Commission on the Los Angeles Police Department, July 1990

⁸ Lee P. Brown, Policing New York City in the 1990's - The Strategy for Community Policing, NYPD January 1991

policing has made the transition from being a promising experiment to being an accepted norm!"⁹

The new community policing strategies differ greatly from the traditional policing concepts of the past. In the traditional model, police authority is based solely in the law and the police are committed to enforcement of the law as their primary objective. Responding to calls for service and apprehending offenders become the highest police priority. Police effectiveness, therefore, is measured by crime rates, arrest statistics, and response times.

The community policing model is a new philosophy of policing which is based on the concept of police officers and private citizens working together in creative ways to help solve contemporary community problems related to crime, fear of crime, social and physical disorder and neighborhood decay. Perhaps Professor Robert Trojanowicz describes the community policing best when he states, "The (community policing) philosophy is predicated on the belief that achieving these goals requires that police departments develop new relationships with people in the community, allowing them a greater voice in setting local police priorities and involving them in efforts to improve the overall quality of life in their neighborhoods."¹⁰

A shift to community policing requires substantial changes in both

⁹ Robert Trojanowicz and Bonnie Bucqueroux, Community Policing - A Contemporary Perspective, Anderson Publishing, 1990

¹⁰ Robert Trojanowicz and Bonnie Bucqueroux, Community Policing - A Contemporary Perspective, Anderson Publishing, 1990

the organizational structure and philosophy of police departments. As Marcia Simmons, Planning and Research Director for Scottsdale, Arizona, Police Department describes it "... (community policing) challenges basic beliefs about policing and can serve as the impetus for a reexamination of many firmly entrenched ideas, including what constitutes organizational effectiveness and how it should be measured."¹¹

Traditionally, the methods of evaluating police effectiveness focused on the output of police activities and had little or no bearing on the results or outcome of those activities. Research has shown, however, that numbers of arrests, response times, and crime rates have little impact on a community's concern of deteriorated housing or decaying neighborhoods. Yet, as Professor Kelling contends, it is these and other "visible signs of disorder"¹² which tend to have the greatest impact on the quality of life in our communities and which are the focus of the new policing strategies.

As community based policing becomes firmly entrenched as the predominate strategy of law enforcement, new measures, criteria, and processes must be developed to evaluate its effectiveness. This then becomes the issue of this futures study: *What process will be used to evaluate the effectiveness of the new community policing strategies by the year 2001?* To answer this question, significant related sub-issues must be identified and addressed.

¹¹ Marcia K. Simmons, Evaluating the Effectiveness of Law Enforcement Agencies, Law and Order, September 1991

¹² James Q. Wilson and George L. Kelling, Broken Windows, The Atlantic Monthly, March 1982

A group of five senior police managers was convened to consider the issue and identify relevant sub-issues. The managers selected three sub-issues: *What types of services will community policing agencies provide? Which of these services will be evaluated to measure effectiveness? What criteria will be used to evaluate these services?*

The relevancy of this issue to the future of California law enforcement is captured by Marcia Simmons in her article Evaluating the Effectiveness of Law Enforcement Agencies: "The challenge for police administrators will be to ensure that the new role of the police department as a partner in the community is reflected not only in the agency's goals but also in the way achievement of those goals is measured."¹³

¹³ Marcia K. Simmons, Evaluating the Effectiveness of Law Enforcement Agencies, Law and Order, September 1991

SCOPE OF THE STUDY

To limit the scope of this study the researcher will concentrate on those California law enforcement agencies which have adopted or plan to adopt a community-based policing strategy. For the purpose of the study a community-based policing strategy will be defined as a philosophy of policing based on the concept of police and citizens working in partnership to solve problems related to crime, fear of crime, social and physical disorder. Through this process the police develop new relationships with the community allowing them a greater voice in setting police priorities and involving them in improving the overall quality of life in their neighborhoods.

Effectiveness has been defined as the extent to which the organization is able to achieve its mission and operational goals.

The future, for the purpose of this study, is defined as the next 10 years.

RESEARCH FORMAT AND STUDY OVERVIEW

This study uses a four-phased systematic approach in arriving at the answers to the issue and sub-issue questions. In Section 1, *Defining the Future*, specific trends and events which are deemed to have a direct impact on the issue are identified, analyzed, and evaluated. The future of these trends and events, including their probability of occurrence and projected impact upon one another, is forecasted. The results of this analysis is used to develop three distinctively different scenarios for the future: an exploratory or surprise free, a hypothetical or worse case, and a normative or desired and attainable.

In Section 2, *Strategic Planning*, a strategic management plan for the Santa Ana Police Department is developed. The strategic plan is presented within the context of the Santa Ana Police Department and includes an analysis of the internal and external environment of the Department and its surrounding community. The plan contains a mission statement and specific strategies and policies for implementation.

In Section 3, *Transition Management*, optimal strategies and policies are reviewed and a plan for implementing then is proposed. The implementation plan includes an analysis of the organizational structure of the Santa Ana Police Department and specific task responsibilities for accomplishing the goal.

Section 4 contains conclusions and recommendations for action, coupled with answers to the issue and sub-issue questions.

The body of this study contains only that information deemed necessary to arrive at the conclusions and recommendations contained within. The appendixes provide further details on the study and the process employed.

SECTION ONE: DEFINING THE FUTURE

WHAT PROCESS WILL BE USED TO EVALUATE
POLICE EFFECTIVENESS
BY THE YEAR 2001?

A WINDOW TO THE FUTURE

SECTION ONE: DEFINING THE FUTURE

Of primary concern in any futures research is the identification and analysis of the social, technical, environmental, economic, and political conditions which comprise the environment of the study issue. Included in this assessment is a survey of existing conditions and an analysis of what forces are likely to change those conditions. These criteria systematically define the future within the context of the issue being studied.

To initiate this process, two methodologies were used to scan the environment: 1) Literature scan; and 2) Interviews with subject matter experts.

LITERATURE SCAN

An extensive review of current literature in light of social, technical, environmental, economic, and political considerations was conducted over a six-month period. Over fifty (50) individual pieces of literature were reviewed and analyzed. For suggested reading, see Bibliography (Appendix A).

The literature review clearly revealed three areas of particular relevancy to the issue of evaluating police effectiveness:

1. Crime Control
2. The Police Mission
3. Police/Community Relations

Crime - The subject of crime and its impact on society often dominates the headlines of newspapers and periodicals. In recent months however, the tenor of these articles has shifted away from the sheer enormity of the crime problem and focused on the apparent ineffectiveness of the police in controlling it. The literature often portrays law enforcement as hardened, uncaring, unsympathetic, and ineffective in the "war against crime". This trend is graphically illustrated by a recent Los Angeles Times Poll which posed the question, "What effect is the criminal justice system having in deterring crime?" to 1,500 adult residents of the city. Shockingly, 61% of the survey's respondents answered the question, "little effect."¹⁴

Police Community Relations - The LAPD/Rodney King incident and the accompanying Christopher Commission Report have served as a catalyst for a volume of works which examine the issue of police and their relationship to the community. The central theme of these works is that the police must significantly increase both the quantity and quality of their interactions with the community. The literature encourages police agencies to adopt a style of law enforcement which emphasizes community relations. This theme is echoed in the Summary and Recommendations of the Christopher Commission Report, "The Department must recognize the merits of community involvement in matters that affect local neighborhoods,

¹⁴ David Freed, Justice in Distress: A Special Report, The Los Angeles Times, December 16, 1990

develop programs to gain adequate understanding of what is important to particular communities, and learn to manage departmental affairs in ways that are consistent with the community views expressed."¹⁵

The Police Mission - The literature clearly reveals a growing challenge to the traditional role of the police. In his book Beyond Command and Control, Mark H. Moore summarizes this trend in this manner: "Police executives and government officials are increasingly raising basic questions about the mission and goals of the police. They no longer see the police mission exclusively in terms of crime control. They add crime prevention, fear reduction, order maintenance, social crisis management and preserving the quality of life to the basic goal of crime control."¹⁶

INTERVIEWS

The researcher was able to interview nine subject-matter experts in the field of law enforcement, municipal government, total quality management, and academe. The researcher was particularly fortunate to interview one of the "founding fathers" of the Problem Oriented Policing philosophy, Dr. George Kelling, and one of the leading law enforcement practitioners in problem oriented policing and the

¹⁵ Warren Christopher, Independent Commission on the Los Angeles Police Department, July 1991

¹⁶ Mark H. Moore and Darrel W. Stephens, Beyond Command and Control: The Strategic Management of Police Departments, Police Executive Research Forum, 1991

total quality movement, Chief David Couper of Madison, Wisconsin. For a complete list of the experts interviewed refer to Appendix B.

The experts were presented with the issue question and asked to identify areas of significant concern affecting law enforcement.

The experts focused on two central themes:

1. The ineffectiveness of traditional policing strategies.
2. The change in the traditional role of police.

Not surprisingly, the experts identified two of the same areas which surfaced in the literature scan; crime control and police/community relations. In personal interviews several of the experts expressed concern over the ability of law enforcement to recognize the need for change in these areas. They cited a general reluctance to abandon past traditions, and the militarily structured command and control system as major obstacles to change.

Another area in which the experts felt would hinder change in law enforcement is an overall lack of funding and resources. Many of the experts noted that recent legislative attempts to increase revenues for law enforcement have failed to win support amongst the electorate. The experts believe that this is a reflection of the general public's dissatisfaction with government and law enforcement's inability to deter crime and preserve the quality of life in their neighborhoods.

In a final question, the experts were asked to identify what they believe to be the predominate strategy of policing in California over the next ten years. Without question, the experts felt that a community based policing strategy would dominate agencies throughout the state and nation.

These scanning techniques contributed to the formulation of a futures wheel (Illustration #1) which depicts the various issues of police strategy as they relate to effectiveness.

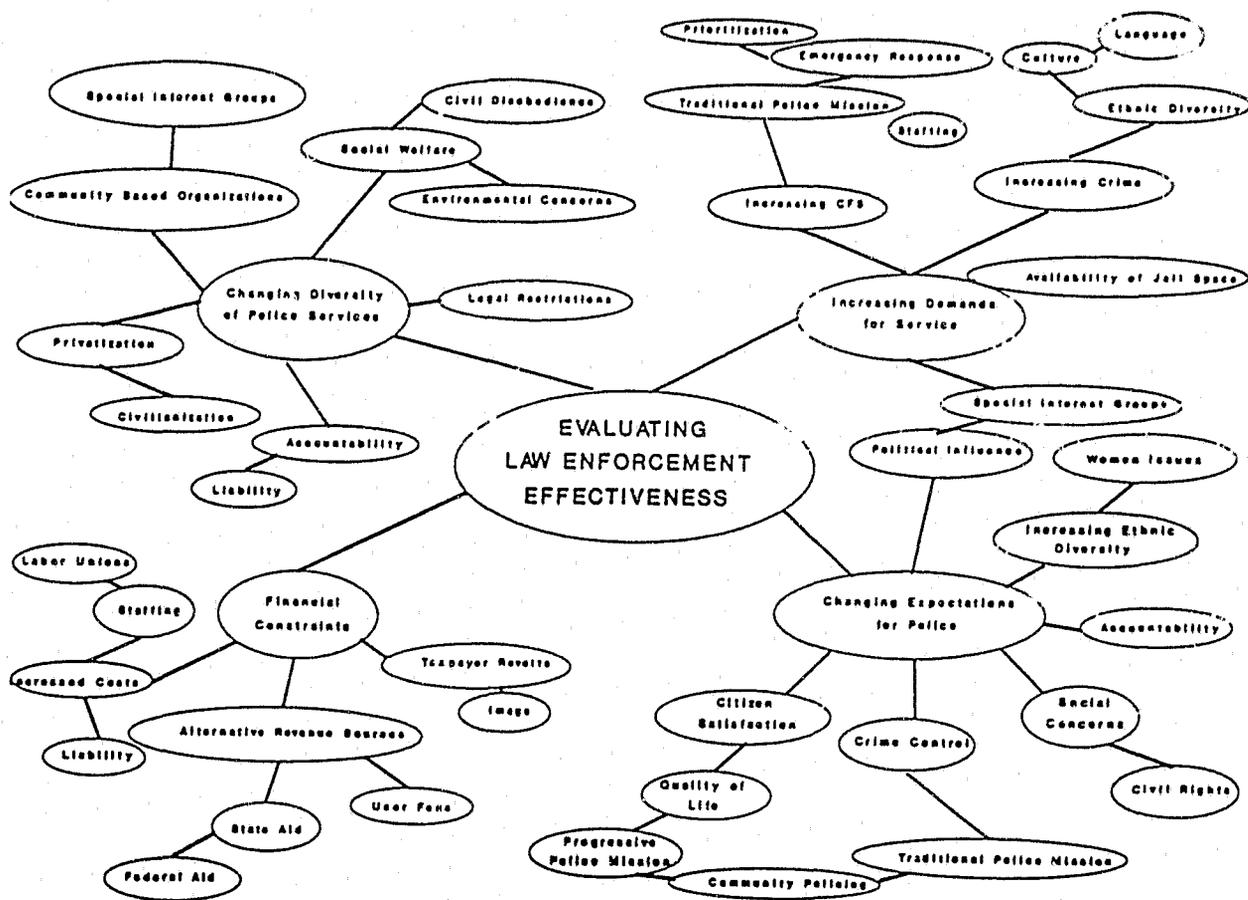


ILLUSTRATION 1

FUTURE FORECASTING

A major component of a strategic plan is the identification and analysis of significant trends (a cluster of interrelated events, beginning in the past and emerging into the future) that are related to the issue question. During this process, it is necessary to forecast the relative direction of each identified trend and estimate trend levels during the projected future. The forecast determines what the trend line probably "will be" and what it "should be". Any divergence between the "will be" and the "should be" forecast is of significant concern in the formulation of a strategic plan.

To complete the trend analysis, the effects of critical events (a discrete occurrence which can be pinpointed in time) were also evaluated. The negative and positive impacts of the events upon the issue and sub-issue were examined.

For a cross impact analysis, events were impacted against other events and trends. The results of the analysis are shown on the Cross Impact Analysis matrix (Appendix J).

TREND AND EVENT FORECASTS

The five member group of police managers who determined the sub-issue questions employed a Nominal Group Technique to identify and select the trends and events (Appendix C-D) used for forecasting by an eleven (11) member Modified Conventional Delphi (MCD) panel (Appendix E). The results of the MCD forecasts are summarized below and displayed in the Trend Evaluation Table (Appendix F), and Event Evaluation Table (Appendix G). A graphic display of the trend and event forecast data is contained in Appendix H-I.

Trend 1 - Demand for Enforcement Related Services

This trend reflects the MCD panel forecast of the level of demand for enforcement related police services. Enforcement related services were defined to the panel as traditional police "crime fighting" activities involving the identification, apprehension, and prosecution of criminal offenders. The panel was unified in their forecast of a steady increase (50 points over 10 years) in the public's demand for enforcement related service. Upon interview, panel members expressed a belief that continuous growth in the size, ethnic diversity, and complexity of California society would necessitate a commensurate growth in the demand for enforcement activities. One panel member cited the high probability of law enforcement becoming involved in the enforcement of law in new areas, such as the environment, as justification for a forecast greater than the panel median.

Trend 2 - Demand for Non-Enforcement Related Services

This trend reflects the MCD panel forecast for the level of demand for non-enforcement related services provided by police. Non-enforcement related services were defined to the panel as non-traditional police activities, such as community relations, public education, crime prevention, and environmental design. Once again, the panel was consistent in a belief of a steady increase in

the demand for non-enforcement related services. There was, however, a slight divergence in opinion, highlighted by a "should be" forecast, 10 points higher than the same forecast for trend 1. Upon interview, several panel members expressed a belief that the move toward community policing will increase the demand for non-enforcement related services and that this demand will increase at a rate slightly greater than the demand for traditional policing services.

Trend 3 - Level of Spending for Police Services

This trend reflects the MCD panel forecast for the level of governmental (state, county, and municipal) spending for police services. The panel members expressed a unilateral belief that government spending for police services will show a marked increase over the course of the next 10 years. The nominal median forecast projects a 75 point increase in spending over the next 10 years. Those panel members holding executive positions in municipal government forecast greater rates of spending than their panel counterparts in law enforcement and academia.

Trend 4 - Level of Public Involvement in Police Policy-making

This trend reflects the MCD panel forecast for the level of public involvement in police policy and decision-making. Public involvement was defined to the panel as active participation in police prioritization and policy formulation by both individual community members and/or special interest groups. The panel forecast depict the greatest divergence of opinion of any of the previous trends. While some panel members perceive little or no change in public involvement, others project a dramatic 200 point increase. Upon interview, many of the panel members professed to have been significantly influenced by the LAPD/Rodney King incident. This experience tended to polarize their opinions around individual values perspectives, such as: Is public involvement good or bad?, rather than issue perspectives, such as: Will involvement increase or not? The median nominal forecast, however, reflects a belief that there will be greater public involvement in police policymaking in the future.

Trend 5 - Level of Citizen Satisfaction with Police Services

The trend reflects the MCD panel forecast for the level

of citizen satisfaction with police services. Citizen satisfaction was defined to the panel as the degree of favorable response to police services by a citizen or group of citizens.

Once again, the panel forecasts showed considerable divergence of opinion. For the first time, panel members forecasted a trend below current levels. While the median nominal forecast shows a modest 20 point increase over 10 years, individual panel members differed considerably between what "should be" and what "will be". The forecasts show that citizen satisfaction is a volatile issue with a wide potential for impact on the issue.

Trend 6 - Level of Citizen Complaints of Police Conduct

This trend reflects the MCD panel forecast for the level of citizen complaints of police conduct. Surprisingly, the median nominal and the "should be" forecasts project minimal increases in the level of citizen complaints over police conduct. Upon interview, some panel members expressed considerable optimism over the issue, citing the growth of community policing as a unifying and healing force among the police and the citizens they serve. This, they indicated, will tend to keep the increase in the level of citizen complaints commensurate with the general increase in population. Another panel member expressed concern that the Rodney King incident will serve to heighten awareness of police conduct and act as a catalyst for increased complaints.

EVENTS AND FORECASTS

Event 1 - Violent Crime Rate Reaches Ten Year High

The California violent crime (crimes against persons) rate reaches its highest point in 10 years. The MCD panel expressed a high degree of confidence that the violent crime rate will reach this high mark during the projected future. The median panel forecast shows the probability of this event occurring within 10 years at 85%. The forecast probability of this event occurring was the highest of all other events. The forecast of the effect of this event on the issue is a negative 8, with a negligible positive impact of 2. This event is related to Trend 1 - Demand for Enforcement Services.

Event 2 - Citizen Review Boards Mandated

In a legislative attempt to stimulate a more cooperative relationship between law enforcement and the public, the state mandates that every law enforcement agency must report to a citizen's review board or police commission. The MCD panel forecasts a slightly better than 50-50 probability of this event occurring within the projected future. Upon interview, several panel members indicated that they based their projections on the recommendations of the Christopher Commission's report on the LAPD. Among other things, the Commission's Report calls for a greater role of the Los Angeles Police Commission in the policymaking and operational decisions of the LAPD. The forecast of the effect of this event on the issue is a positive 6, the highest of all other events. This event is related to Trend 4 - Level of Public Involvement in Police Policymaking.

Event 3 - Police User Fees Indicated

In an effort to provide fiscal relief for local governments caught between increasing demands for police services and shrinking financial resources, the state enacts legislation which enables local governments to access fees from citizens for the use of routine police services. The MCD panel forecasts a wide range of probabilities for this event occurring within the projected future.

Despite their strong forecast of increases in the level of spending for police services Trend 3, the panel did not share the same degree of confidence that this method

of increasing revenues would ever be adopted. The forecast of the effect of this event on the issue is mixed, with a negative impact of 6 and a positive impact of 5. This event is related to Trend 3 - Level of Spending for Police Services.

Event 4 - Jails Close to Misdemeanors

Rising inmate populations force county and municipal jails to close their doors to all misdemeanor offenses. The MCD panel forecasts a median probability of 75% for this event occurring within the projected future. Upon interview, several panel members indicated that they had personal knowledge and/or experience with a situation in which a jail restricted its intake policies. This personal experience is expressed in the high degree of certainty projected for this event actually occurring. The forecast of the effect of this event on the issue is a negative 6.

Event 5 - Contract Police Services

A California city contracts with a private vendor for basic police services. The contract specifies that the vendor will provide "basic police services," defined as: security presence, traffic regulation, crime prevention activities, and enforcement of municipal ordinances. Once again, MCD panel forecasts a broad range of probability for this Event occurring. Although the median probability reaches 75 percent at the end of the projected future, it starts with a relatively low probability of 30 percent during the first five years. Upon interview, it appears that this issue polarized the MCD panel members. Panel members from law enforcement expressed a low probability that this event would ever occur, whereas panel members from government and academia foresaw a much higher probability. The forecast of the impact of this event on the issue is a negative 6, with a positive impact of 5. This event is related to Trend 5 - Level of Citizen Satisfaction with Police Services.

CROSS IMPACT ANALYSIS

A cross impact analysis assumes that each forecasted Event actually occurs. The estimated impact of these events, termed "actors," are forecasted against the other five events and six trends. The impacted trends or events, in-turn, become "reactors."

The results of this analysis help identify the most prominent trends and events for use in developing future scenarios. During this process the estimated impacts are recorded as a percent change (plus or minus) over the original Modified Conventional Delphi forecast, and represent the maximum impact upon the Trend or Event.

To attain this data, six local law enforcement managers were used as a consensus panel. The three most potent Actor Events were identified based on the number of impacts on the Reactor Trends and Events. These Actor Events will be considered as a focus for policy action. The cross impacts are shown on Appendix J - Cross Impact Analysis.

Event 1 - Violent Crime Rate Reaches Ten year High

An event of this significance would have a far-reaching impact on the issue. Events of this nature tend to evoke a strong emotional response, often resulting a knee jerk reaction and quick-fix solution. This type of reaction could lead to a push for an increase in the traditional statistical indicators of police effectiveness, resulting in a significant impact upon Trend 1 - Demand for Enforcement Related Services.

Event 2 - Citizen Review Boards Mandated

The widespread impact of this event upon the issue is directly attributed to the LAPD/Rodney King incident. The cry for greater community participation in police affairs could easily be manifested in the form of civilian review boards. This is reflected in the impact upon Trend 4 - Public Involvement in Police Policy Making and Trend 5 - Citizen Satisfaction.

Event 5 - Contract Police Services

The increase in public involvement in police policymaking, as projected above, will most likely impact the demand for greater police accountability. This demand for accountability may ultimately result in a demand for greater control over the service itself thus leading to the potential for private enterprise's involvement in providing police services.

SCENARIOS

The final segment of this section is the development of alternative future scenarios. These Scenarios are based on the trends and events which have been previously forecasted. The purpose of the scenarios is to provide planners with a glimpse into possible futures and a model for a potential future.

The scenarios take place in the city of Santa Ana and are set against the actual conditions of this community. A more detailed description of Santa Ana is provided in Section 2, Strategic Planning.

The three forecasting scenarios presented are:

1. Exploratory Mode (surprise free)
2. Hypothetical Mode (what if)
3. Normative Mode (desired and attainable)

EXPLORATORY SCENARIO

CRIME RATE HITS RECORD HIGH

The Orange County Register

January 25, 2001

According to figures released yesterday by the State Department of Justice, California's violent crime rate has reached its highest point in 10 years. Locally, the city of Santa Ana led all other Orange County cities, with its highest violent crime rate in over 12 years.

When asked to comment on this information, Santa Ana Police Chief Bob Chavez declined, stating only that he would be "fighting a losing battle if I try to play a numbers game with the safety of the community." Later in the day, Santa Ana Police spokesperson, Lieutenant Maureen Thomas, released a statement which said in part, "The latest crime figures do not mean that the police department has lost control of crime in the City." The statement went on to say that "poor showings in many of our key performance indicators, (arrest rates, clearance rates, and emergency response times) are a direct result of the steadily increasing demand for police services."

One high-ranking police official, who asked not to be identified, told the Register that the department had made some significant achievements in improving the quality of life in the city but that those accomplishments "would be lost in the furor over the crime stats."

When informed of the latest crime figures, Santa Ana City Council member and long-time law and order advocate, John Raya, had this to say, "We must direct all available department resources to reclaim control of our City. We cannot tolerate numbers such as these." Raya went on to say that he hoped that his newly adopted police user fee program would discourage people from calling the police for "neighborhood nuisances and minor violations." "This," he proclaimed, "would give our cops time to fight real crimes."

Several long time City Hall watchers predicted that this latest turn of events would resurface the debate over privatization of the basic police services.

HYPOTHETICAL SCENARIO

SANTA ANA POLICE COMMISSION AWARDS
POLICING CONTRACT TO VARGAS SECURITY
The Orange County Register
July 1, 2001

Late last night, the Santa Ana Citizen Police Commission voted unanimously to instruct the city to award a "basic policing services contract" to the Vargas Security Company of Santa Ana. The contract calls for Vargas Security to provide the 17 incorporated Santa Ana neighborhood associations with a 24 hour-a-day police security presence. The contract is to include such services as security patrols, home security inspections, vacation checks, traffic regulation, and enforcement of municipal ordinances.

In defending their actions, SACPC Chairperson Mary White issued this statement, "We know our police department is bogged down fighting serious crimes and responding to emergencies...but our neighborhoods need more. We want special attention given to those areas of our daily lives which have the most impact on quality of life in our neighborhoods. We are confident that our actions tonight will satisfy those needs."

Northwest Neighborhood Homeowners Association President Carl Haas applauded the commission's decision, saying he "welcomed this as an opportunity to have more direct input in establishing policing priorities in his neighborhood."

Santa Ana Police Chief Bob Chavez expressed a degree of sadness over the commission's decision, but defended his department's emphasis on crime control over public service, stating that it was the "true mission of law enforcement". Chief Chavez acknowledged that the recently released violent crime statistics showing the city hitting its highest crime rate in over 10 years, and the steady increase in operating costs as contributing to the commissions decision to hire private security police.

NORMATIVE SCENARIO

**POLICE COMMUNITY PARTNERSHIP PROVES
EFFECTIVE IN PRESERVING NEIGHBORHOODS**
The Orange County Register
January 1, 2001

In a joint press conference held by Santa Ana Police Chief Bob Chavez, Santa Ana Mayor Joe Slick, Santa Ana Citizen Police Commission Chairperson Mary White, and Northwest Neighborhood Homeowners Association President Carl Haas, a report was released highlighting the progress the city, police, and citizens had made in improving the quality of life in the neighborhoods. Reading from the report, NNHA president Haas cited a recently conducted city-wide survey which indicated that a strong majority of Santa Ana's citizens felt safe and secure in the city. Haas attributed these results, in large part, to the high degree of participation and cooperation between the police and the community. While acknowledging a state report which indicated that violent crimes in the city had reached a ten-year high, Haas diminished its significance, stating "although violent crime had increased about 50% during the five years between 1991 to 1996, the increase had slowed to about 35% during the following five years between 1996 to the present."

SAPD Chief Chavez commented on the latest crime statistics by attributing the lower increase in crime to a by-product of a closer police/community relationship. Chavez also noted the steady increase in both the demand for and cost of police services over the same period of time. Chavez speculated that these factors contributed greatly to the increase in the level of public involvement in policy formulation for the department. "People are more apt to become involved with police departments in which they have confidence" he said. "There is a feeling that by working together something positive can be done."

SACPA Chairperson Mary White did not attempt to downplay the importance of the crime statistics, saying that "crime statistics and response times are valid measures of police performance. The most important aspect of police performance, however, is the effect they (the police) have on the community. In this area I give them very high marks."

SECTION TWO: A STRATEGIC PLAN

**A STRATEGIC PLAN FOR LAW ENFORCEMENT TO DEVELOP
A NEW PROCESS FOR EVALUATING EFFECTIVENESS**

SECTION TWO: A STRATEGIC PLAN

A Strategic Plan for the Process of Evaluating Police Effectiveness by the 2001

The development of a strategic plan is a structured and systematic process comprised of three distinct phases: 1) A situational analysis; 2) The creation of a mission or purpose; and, 3) The development of operational policies.

In this section, a strategy to achieve the "desirable or attainable" state of the Normative scenario is developed and presented. This strategy provides a road map for the Santa Ana Police Department to use to achieve a desired future process for evaluating the effectiveness of its efforts.

The Setting: The city of Santa Ana is a dynamic, culturally diverse, urban community of over 300,000 full-time residents. The 1990 census identified Santa Ana as the second most densely populated city in the state, with an ethnic representation of 65% Hispanic, 23% White, 9% Asian, and 3% Black.

Without question, the most dominate aspect of the city is its rapidly growing Hispanic population. According to the 1990 census figures, the number of Hispanics in Santa Ana rose by 110%, from 90,780 in 1980 to 191,400 in 1990. Meanwhile, the number of non-Hispanics dropped by 10%, from 113,200 to 102,300. It is this unprecedented growth in the Hispanic population which has been the

driving force behind a broad spectrum of social, political, and economic change.

The economic outlook for Santa Ana may not be as bleak as it appears for many other California cities. The vast majority of Santa Ana's residents are employed in service related industries at or near minimum wages. These people tend to spend their earnings within the city securing the basic necessities of living. There is sufficient light manufacturing and service industries in the city to employ the majority of its residents and provide a solid tax base for governmental operations. In addition, Santa Ana is the seat of government for Orange County and, as such, benefits from the financial, legal, and governmental trades associated with it. But like other cities, a prolonged and general weakening of the economy will have devastating impact on government's ability to raise and spend money.

MACRO AND MICRO-MISSION STATEMENTS

The macro mission of the police department is a broad statement of purpose designed to provide the organization with a collective sense of direction and act as a foundation for decision-making.

The existing mission of the Santa Ana Police Department is: To ensure the safety and security of all people in our city by providing responsive and professional police services with compassion and concern. Our mission is accomplished within the moral and legal standards of our community, through a problem solving partnership with the community and members of the department.

The micro mission of the department is designed to define a particular organizational value and to express a commitment to achieving it. With this in mind, a group of five SAPD managers developed a micro mission statement to reinforce the department's commitment to community based policing. The following statement was added to the basic mission: The effect of our efforts is determined by our impact on the quality of life in the community.

SITUATIONAL ANALYSIS: WOTS-UP

The first component of the situational analysis was a scan for significant external and internal environmental factors which could influence the Santa Ana Police Department's ability to achieve the desired state. This evaluation consists of two segments: an assessment of the "opportunities and threats" of the external environment, and an assessment of the "strengths and weaknesses" of the internal environment at the SAPD. For the purpose of this analysis, an opportunity is defined as any favorable condition or trend outside of the environment of the SAPD, and a threat is defined as any unfavorable condition or trend. Strengths are defined as internal resources of the SAPD that could be used to achieve the desired state, and weaknesses are defined as conditions that would hinder or limit the ability to attain the desired state. A group of six SAPD managers were used to obtain the information necessary for the analysis.

OPPORTUNITIES: The Hispanic dominance of Santa Ana's population has had a significant influence on the social norms and values of the city. Traditional Hispanic culture in Santa Ana places great importance on family closeness and on strong neighborhood bonds. These factors give rise to a deep concern among a majority of the city's residents for preserving or improving the quality of their neighborhood life. For many years, the SAPD's Community Oriented Policing program has placed particular emphasis on neighborhood

based issues and on providing many of the non-enforcement related services often associated with them. The increasing demand for these non-enforcement related services is graphically illustrated in Trend 2. The SAPD's community policing program is well received by the community and is valued for its non-traditional approach to their quality of life concerns. These conditions, more than any others, provide the department with the distinct opportunity to achieve the type of police/community partnership described in the Normative scenario.

THREATS: It is this same rapid growth in Santa Ana's Hispanic population which has been the cause of what many have described as a "clash of cultures" between the once dominate Anglo population and the new Hispanic majority. Hispanic newcomers to Santa Ana appear to many in the established Anglo population to have a propensity for anti-social and criminal behavior. They tend to place the blame for neighborhood deterioration and crime on their non-Anglo neighbors and cry out to law enforcement for a more traditional "lock-em-up and throw away the key" style of policing. This social or cultural friction between the Santa Ana's main population groups is clearly evident in the City's political environment. Whereas the Hispanic population and culture are clearly dominate on the social scene, it is the Anglo population and culture which dominates the political scene. Only two of Santa Ana's seven City Council members are Hispanic, and few Hispanics hold elected or appointed positions of power. This then poses a

dilemma for the ruling politicians: on the one hand they clearly have the power to do whatever the Anglo minority wants of them; on the other, they are fearful of antagonizing the Hispanic majority and risk losing their political office altogether. This volatile social and political environment creates uncertainty in city government and discourages any risk taking which may upset the delicate political balance between the Hispanic and Anglo community. This becomes a significant hinderance to achieving the desired state of the Normative scenario.

STRENGTHS: The Santa Ana Police Department has had a long and successful history of police/community interaction. In 1975 the department began its Community Oriented Policing program, or "COP". The department received national recognition for the program by becoming one of the first police organizations of that era to publicly declare that the police alone were not the answer to crime and that close police/community participation was essential to a safe environment. Although the COP program has changed over the years, there still exists a strong police/community relationship and a powerful organizational culture of community policing. These organizational institutions provide a solid foundation for enhancements to the present state.

The department has a core group of intelligent and dedicated managers who have been schooled in the city's Total Quality Management or TQM program. TQM is based upon the teachings of

statistician Edwards Demming, the individual who has been given much of the credit for the phenomenal success of postwar industrial Japan. TQM is based upon the principles of producing high quality goods and services through a process of continuous improvement of systems and procedures. At the heart of TQM is a managerial philosophy which stresses employee empowerment and participation in the decision making process at the lowest level of the organization. TQM fits well with the department's community policing strategy and greatly enhances the organization's ability to recognize and adapt to new concepts. This is a clear strength in the organization's ability to achieve the desired future scenario.

WEAKNESSES: Despite its proud legacy of community based policing, the department has also had a long history of troubled relations with the Santa Ana Police Officers Association. Among the many issues which have caused friction between the department and the SAPOA over the years is a philosophical difference of opinion over the merits of community policing. In recent times the SAPOA has become increasingly active in the local political arena. This volatile political climate of the city places the department's leadership in a tenuous position. There is a strong temptation for top level management to avoid conflicts by attempting to take positions which please all sides of any particular issue. Unfortunately, the organization often perceives top management's position as being luke warm, or wavering in support of any reform

or change. This uncertainty at the top of the organization gives rise to internal conflicts between "hard line traditionalists" seeking to maintain the status quo, and "new age reformers" who seek to change the way the organization does business. This weakness is a significant hinderance to achieving the desired future scenario.

INTERNAL CAPABILITIES ANALYSIS: In order to further assess the organization's strengths and weaknesses, an Internal Capabilities Analysis instrument was completed. The results of the analysis indicate that the organization has a solid foundation for change with superior capabilities among the members of its middle management. The organization was, however, found to be in need of enhanced communication from the executive level.

These factors tend to indicate that the organization is receptive to change so long as the reasons for the change are clearly understood and that there is sufficient leadership to champion the change.

The complete results of the analysis are shown on the Internal Capabilities Analysis Table. (Appendix K)

STRATEGIC ASSUMPTION SURFACING TECHNIQUE: SAST

An important part of the strategic planning process is the identification of those persons and/or groups which are impacted by the issue question. These individuals or groups can be broken down into three sub-groups: 1) those who are impacted by a policy or decision; 2) those who care about what you do; and, 3) those who impact or control what you do. These are known collectively as "stakeholders". The goal of the SAST is to identify these stakeholders and attempt to make informed assumptions about their position on the issue. This stakeholder analysis was accomplished with the assistance of five sworn-police managers from within the SAPD.

STAKEHOLDER ANALYSIS: There are many people who have an interest in how the Santa Ana Police Department will evaluate its effectiveness in the future. Some of these "stakeholders" are concerned for economic reasons, while others seek to find political advantage. Whatever the reasons, these stakeholders share a common concern for insuring that their needs are met.

The following list represents what is believed to be the 10 most critical stakeholders for the issue. Their assumptions on the position, certainty of the assumption, and the importance of each are graphically displayed on the Strategic Assumption Map.
(Appendix L)

MODIFIED POLICY DELPHI

Eight members of city hall management and the department's command staff were assembled into a Modified Policy Delphi panel. The panel was used to formulate, examine, and select policy alternatives which would enhance the probability of achieving the desired scenario.

A summation of the MPD panel's suggested policies follows:

Task Force - Employ a task force strategy which involves key stakeholders in the formulation and recommendation of effectiveness measures for the department.

PROS: Involves Stakeholders
Creates Ownership of the Results
Fosters Police/Community Partnership
Realistic and Attainable

CONS: Time Consuming
Difficult to Manage or Control
Competing Interests and Priorities

Departmental Orders - Management to develop departmental rules and regulations which establish the criteria for evaluating effectiveness.

PROS: Requires Limited Involvement to Create
Easily Disseminated
Quick to Prepare

CONS: Inflexible
Lacks Participation
Limited Ownership by Community or Staff

Customer Relations - Establish a Customer Relations Unit responsible for ensuring community satisfaction with police services. The Customer Relations Unit provides feedback to the organization to adjust its services for maximum effectiveness.

PROS: Central Responsibility for Evaluating Effectiveness
Central Location for Airing Community Concerns
Expertise Developed

CONS: Limited Organizational Participation
Limited Organizational Ownership
Task Too Large to Accomplish with Unit

Personnel Performance - Implement a Personnel Performance Evaluation Instrument which sets forth specific performance criteria for officers to be held accountable to. The performance instrument will include specific neighborhood policing effectiveness criteria.

PROS: Holds Individuals Accountable
Sends Clear Message About Priorities
Supervisors Accountable for Officers

CONS: Difficult to Construct
Inflexible
Difficult to Administer
May Alienate Officers

Contract Services - Contract with a private vendor to provide the department with regular community surveys on citizen satisfaction and attitudes about the police. The information will be used to adjust services for maximum effectiveness.

PROS: Outside Vendor Objectivity
Central Responsibility
Professional Expertise

CONS: Distant from the Organization
Lack of Ownership of the Results
Cost

Upon careful consideration of each of the proposed policies, the MPD panel selected the Task Force policy as having the greatest likelihood of success in attaining the desired future of the Normative scenario. The task force strategy is a comprehensive plan to incorporate key stakeholders in the process of identifying and defining criteria of police effectiveness. The task force concept is critical in identifying issues of true concern to the community and in creating a feeling of community ownership in the police mission.

The implementation of the Task Force strategy will require close cooperation between the police department, city management, and city council. Each must be convinced that such a task force would be advantageous to their individual interests and not a threat to their sovereignty. This type of reassurance could best be accomplished by the Chief of Police as part of his overall proposal for the task force.

There are three key elements to the task force strategy which will be of particular interest to city management and the city council:

- 1) The task force provides an opportunity to educate the community about realistic expectations of their police.
- 2) The task force provides an opportunity for government to appear responsive to its citizens.
- 3) The task force provides an opportunity to entice key members of the community and build support for other governmental activities.

The basic plan for implementation of the task force is summarized as follows:

- I Establish Task Force Objectives
 - A Review the police role, contemporary policing issues, and emerging policing trends
 - B Review and understand Santa Ana's police demands
 - C Review and understand the current operations and mission of the Santa Ana Police Department
 - D Identify and prioritize Santa Ana's public safety needs
 - E Establish effectiveness evaluation criteria

- II Identification of Key Stakeholders to Serve on Task Force
 - A Selection of Task Force members
 - B Public and media announcement of Task Force

- III Task Force Meetings
 - A Series of lectures and workshops are presented addressing each of the task force objectives
 - B Task Force breaks into sub-groups to study each issue and report back findings

- IV Task Force Recommendations Made
 - A Task Force recommendations presented
 - B Specific recommendations selected and presented to the City Council
 - C Agreement reached between Task Force, City Council, and Police

- V Implementation of Task Force Recommendations
 - A Recommendations incorporated into SAPD operational strategy.

The task force process is projected to take place over a six month period from January to June. This time frame coincides with the City's annual budget process to allow for specific recommendations to be easily incorporated into the police budget.

NEGOTIATING THE STRATEGY

The key components of the task force strategy are the participation of the stakeholders in the development of evaluation criteria and the resulting stakeholder ownership of the task force's recommendations. These ingredients are vital to the success of the strategy and are therefore non-negotiable in accomplishing the mission. When dealing with a highly subjective issue, such as police effectiveness, it is essential that all parties have complete "buy-in" to the process, or the process is likely to fail.

There are components of this strategy, however, which are of lesser importance and are negotiable for the sake of accomplishing the mission. The selection of the actual task force members, for example, is far less critical to the overall process than the concept of actually having stakeholder participation. City management and City Council will most likely have strong preferences as to who should be selected to serve on the task force. In many instances, appointments to the task force will be considered for political reasons. The selection of task force members provides a great opportunity for political compromise without risk of losing any of the real strength of the task force.

Another area of the task force strategy which lends itself to compromise without significant impact to the process is the site and structure of the task force meetings. Although seemingly

trivial, many people in the political arena exert their personal preferences on such things. Allowing key task force members to choose the date, time, and site of the meetings gives them a feeling of importance, with little real impact on the process.

The most desirable negotiating strategy is one in which all parties receive a mutual gain from participating in the process. This is especially difficult to achieve when dealing with the highly subjective and value-laden concepts surrounding the issue of police effectiveness. It is therefore critically important that negotiating leverage be obtained through a win-win scenario that emphasizes the common interests of the participants.

SECTION THREE: TRANSITION MANAGEMENT

**MANAGING THE TRANSITION FROM THE PRESENT STATE
TO THE DESIRED STATE**

SECTION THREE: TRANSITION MANAGEMENT

Managing the Transition from the Present State to Implementing a New Process of Evaluating Police Effectiveness

Of critical importance to the implementation of the strategic plan is the process of managing the organizational transition from the present state to the desired future state. A transition management plan presents a blueprint for a strategic course of action specifically designed for the organization to effectively manage the change. This process consists of three interdependent parts: 1) Identification of specific individuals critical to the strategy and analysis of their commitment to it; 2) Development of an organizational structure to facilitate the change; and 3) Analysis of methods and tools needed to facilitate the process.

COMMITMENT STRATEGY

In order for the task force strategy to succeed it is necessary to secure the support of several key members of the community, city government, and the police department. The stakeholders identified in Section Two, Strategic Plan, provided the basis for the identification of these key individuals and for a subsequent analysis of the degree of their commitment to the strategy.

Six individuals were identified as being crucial to the process; they form the Critical Mass: City Editor for the Orange County Register, Santa Ana Neighborhood Association President, Mayor, City

Manager, Santa Ana Police Officers Association President, and the Chief of Police.

The current level of commitment by these Critical Mass "actors" and the commitment necessary to make the change occur is evaluated in the discussion below and graphically displayed on the Commitment Chart (page 49).

City Editor - Historically, the local print media has had a significant impact on the image of the police in the community. In particular, the Orange County Register, a self proclaimed libertarian newspaper, has had a long tradition of criticizing the SAPD. The City Editor is the individual responsible for the majority of print regarding the Santa Ana Police Department and, as such, has the power and influence to make or break any particular issue.

It is likely that the City Editor would welcome the opportunity to participate in a task force. He would view it as both an opportunity to exercise his journalistic responsibility as a watchdog to government and as a chance for a good inside story.

His support for the task force would be valuable in establishing much needed credibility with the community. His rejection of the task force could seriously damage any attempts the department would make to implement new effectiveness measures. It is therefore vital that the SAPD act to insure that the City Editor is committed to letting the change happen and not work to block it.

The City Editor is a cautious and astute individual who prides himself on his honesty and journalistic integrity. He is open to new ideas if they can be supported through sound logic. The City Editor would not be willing to negotiate his position with an emotional argument. He could, however, be encouraged to maintain his position of letting the change happen through a factual and credible presentation of the evidence in favor of change.

Neighborhood Association President - Neighborhood associations are just beginning to come of age in Santa Ana. The Hispanic community's intense desire to preserve the quality of neighborhood life has been the driving factor in their proliferation. The Santa Ana Neighborhood Association, SANA, is the largest and most influential association in the city. Its president is considered by many as the defacto head of Santa Ana's Hispanic community.

The SANA president is committed to improving the quality of life in the neighborhoods and will do anything to further that cause. The SANO president has long recognized the importance of a close police/community relationship in creating a quality neighborhood environment and would enthusiastically participate in the task force.

Consequently, the SANA president would most likely attempt to assume a leadership role in making the change happen. This position would help him, both on a personal level by increasing his importance within the Hispanic community, and on a professional level by helping SANA achieve its goal of improving the neighborhoods.

If SANA is allowed to assume this type of command of the Task Force it could seriously jeopardize the credibility of the entire process by appearing to serve as a political platform for SANA. The SANA president must therefore, be moved away from a position of making the change happen to one of helping the change happen.

The quality of neighborhood life is a highly emotional issue to SANA. The SANA President therefore, must be convinced on a personal, gut-level basis that this change in his position is vital to the success of the program.

Mayor of Santa Ana - Santa Ana's City Council is deeply concerned with the declining reputation the city has been suffering over the past several years. Poverty is widespread among the city's large Hispanic community and there is significant criminal activity among its many youth gangs.

As the leader of the City Council, the Mayor would eagerly welcome the opportunity to participate in the task force and would most likely view it as an opportunity to bring some much needed relief to the city's damaged reputation. The Mayor would likely attempt to use his official position to dominate the task force and make the change happen. This position could have a direct benefit to both the city and to his personal political future.

It is important that the task force not become a political football and lose credibility altogether. The Mayor must therefore be encouraged to move from a position of making the change happen to one of helping the change happen.

The Mayor will most likely be willing negotiate this change in position as long as the task force leadership role is not filled by a rival political figure. This could be accomplished by the Chief's careful selection of task force members.

City Manager - Santa Ana's City Manager is concerned with two basic issues: 1) Improving the quality of life in the

neighborhoods; and 2) Providing the highest quality services at the lowest cost. To accomplish these goals the City Manager must first deal with improving the city's reputation as a haven for crime and disorder.

The City Manager is acutely aware of the role the police department plays in forming the image of the city. He is also aware of the often negative light that traditional crime rate and arrest statistics shine on the city. He is therefore very interested in pursuing new ways to showcase the effectiveness of his police department in the hope that he can highlight the positive aspects of the city.

The City Manager would most likely take a position of making the change happen. This approach could be damaging as it is likely to be viewed by many as a self-serving move designed to help the city out of troubled times. The City Manager would be most effective if he were encouraged to move from this position to one in which he helped the change happen.

The City Manager would be willing to negotiate this change in position if he could be assured that the change will occur without his direct participation. This assurance is a matter of personal trust and confidence between him and the Chief of Police.

SAPOA President - The Santa Ana Police Officers Association is the snaildarter of the task force strategy. The SAPOA often regards itself as an adversary of both city and police management, constantly on the watch for a political advantage. This makes the SAPOA's behavior very unpredictable and potentially adversarial. The SAPOA president represents over 400 of the department's 600 employees. He views his role as that of a politician and is committed to manipulating issues for both SAPOA and personal gain.

The SAPOA president would be highly skeptical of any proposal originating from either the police or city management. He would, however, want to become involved in the task force process to insure that his SAPOA members do not have to fulfill any "unreal" expectations established by eager task force participants.

Although the SAPOA president's support is not vital to the success of the change process, his disapproval could be difficult to overcome. As long as the task force does not challenge his POA presidency, the SAPOA president would most likely assume a position of letting the change happen. It is important, however, that he be encouraged to maintain this posture and not switch to one of blocking the change.

The SAPOA president is highly desirous of enhanced personal political stature and is therefore very receptive to negotiating

his position on the task force in exchange for personal political power.

Chief of Police - The Santa Ana Police Department has had a long and successful history of using non-traditional community based policing strategies. The Chief is convinced of the value of these strategies and is committed to continue along this course of action into the future. The Chief is very much aware of the need to develop new processes for evaluating the effectiveness of these non-traditional policing strategies and is therefore interested in pursuing the change.

Despite his recognition of the importance of the change, the Chief is a very cautious individual who does not like to take risks and is reluctant to pursue any course of action which exposes himself to controversy.

The Chief is a key individual in the change process. He will most likely take a position of helping the change happen but could easily revert to a less risky position of letting the change happen if his sense of personal security is threatened. This must not be allowed to happen. As head of the Department, the Chief needs to take a leadership position and make the change happen.

ACTORS IN CRITICAL MASS	BLOCK CHANGE	LET CHANGE HAPPEN	HELP CHANGE HAPPEN	MAKE CHANGE HAPPEN
City Editor		X0		
Neighborhood Assn President			0<----->X	
Mayor			0<----->X	
City Manager			0<----->X	
POA President		X0		
Chief of Police			X<----->0	
X - Present Commitment		0 - Minimum Commitment Needed		

TRANSITION MANAGEMENT STRUCTURE

Changes within the existing organizational structure of the Santa Ana Police Department are necessary in order to facilitate the orderly and systematic functioning of the task force as the instrument of change in the transition from the present state to the desired future state. The task force structure enables the organization to manage the change independent of the responsibilities of ongoing daily operations, yet provides the insight necessary to integrate the change into the various operations of the department.

As discussed in the critical mass analysis, the Chief is vital to the change process. As the leader of the department, he must demonstrate his commitment to the change by appointing the proper individual to both represent the organization and serve as chairman of the task force. This individual must be a champion for change and be well respected both inside and outside of the organization.

As chairman of the task force, this individual will be responsible for keeping the task force on target and for keeping the many different personalities of the task force members working in a productive manner. To accomplish this formidable task this person must possess considerable interpersonal skills and be able to handle personal agendas effectively.

TRANSITION MANAGEMENT TECHNOLOGIES

The transition from the present state to a desired future state requires change in the established norm and predictability of the organization. This process of implementing change to the status quo can be among the most feared of all organizational endeavors. It is this fear of the unknown and uncertainty of future which causes employees to resist the change and cling to the certainty of the present.

A variety of tools and techniques can be used to minimize this resistance to change and in fact, help facilitate its implementation. Perhaps the most effective of these techniques are those which involve people in the change process rather than exclude them from it. With this in mind three specific techniques have been identified:

Communicating the Vision - Every effort must be made to communicate the vision of the desired future to each member of the organization. This process serves as a vehicle to involve rank and file members of the organization in the change process and helps to instill a sense of ownership in the change itself. Individuals who understand the vision and who are involved in the process become committed to the change.

Team Building - Prior to beginning the actual work of the task force it is highly advantageous to send its members to a team building workshop. The purpose of the workshop is to help the task force members gain a better understanding of each other so that they can work together as a team more effectively. Team building serves to break down many of the interpersonal barriers which inhibit honest communication and understanding of thoughts and ideas.

Training - A comprehensive educational program will be developed specifically designed to expose stakeholders to the deficiencies of our present condition and convince them of the need to change. Stakeholders who understand why the change is necessary are far less anxious about the change and are more likely to support it than those who are uninformed.

Surveys - A comprehensive battery of surveys will be administered to individuals both internal and external to the department. The surveys will be used to monitor people's attitudes about the change and can serve as an affirmation to them that their opinions are of value to the department. This process provides an opportunity for many people to feel like a valued contributor and can, therefore, lessen their opposition to the change.

Responsibility Charting:

Responsibility charting is a process designed to ensure that the critical participants in the change process are clear about their responsibility for specific action steps. Responsibility charting provides a graphic display of the actions to be taken, the actors involved in those actions, and the level of responsibility for those actions. A consensus of five police managers was used to complete the process. (Appendix M)

SECTION FOUR: CONCLUSIONS AND RECOMMENDATIONS

THE ANSWERS

SECTION FOUR: CONCLUSIONS, RECOMMENDATIONS AND FUTURE IMPLICATIONS

The final section of the study is presented in three segments. The first segment is dedicated to answering the issue and sub-issue questions. The second segment contains recommendations to assist law enforcement agencies in responding to the issue in the future. The last segment is devoted to the identification and recommendation of related issues for further study.

The Issue: What process will be used to evaluate law enforcement effectiveness by the year 2001? The purpose of this research project is to identify and explore a process to be used to evaluate the effectiveness of California law enforcement in the future. The project was not designed to recommend specific performance criteria but rather to identify a process of evaluating effectiveness in a future environment of California law enforcement.

The data obtained through the course of this research has clearly supported the notion that the role of law enforcement is changing from a narrow enforcement-based perspective to a broad-spectrum full-service philosophy. The traditional view of police solely as agents of crime control is increasingly giving way to a broader perspective of public safety service aimed at the so-called quality of life issues. In response to this changing and expanded vision of policing, law enforcement agencies are turning to a community based strategy for police service delivery.

The focus of the new community policing strategies differs considerably from that of the traditional crime fighting model. In the traditional model, emphasis was placed on the outputs of policing; that is, arrests made, citations issued, cases cleared, etc. These readily quantifiable policing activities form the criteria for evaluating performance. The process of evaluating effectiveness, therefore, is one of law enforcement measuring, recording, and reporting outputs to their constituents.

In contrast, community based policing strategies tend to focus on the results or outcomes of police activities. They place high value on activities which achieve the goal. It is therefore possible that the reduction of fear in the community, or the level of citizen satisfaction, may be more closely associated with the goal of the police than are rates of crime and numbers of arrests. It is policing efforts towards these ends which may be considered truly effective.

In the community policing model, effectiveness is determined by the degree to which the police achieve the desired outcome. Consequently, the desired outcome dictates the criteria for evaluating effectiveness.

The researcher has concluded that the process for evaluating effectiveness under a community policing strategy should parallel that of community policing itself.

At the crux of community based policing is the interactive partnership of the police and the community in establishing goals, determining priorities, and assuming mutual responsibility for community safety. It is this same cooperative endeavor which should be used as the foundation to evaluate effectiveness. As the police and community work together to determine individual neighborhood needs and tailor unique responses to those needs, so should they mutually establish the criteria for evaluating the effectiveness of those responses.

In some instances, the effectiveness of the police response may be determined by traditional output indicators, such as arrests and response times. In other instances, effectiveness may be gauged by non-traditional outcome indicators such as property values or attitude surveys. Most likely, the evaluation of effectiveness will consist of a combination of both outcome and output indicators. In any regard, the future process for the evaluation of police effectiveness should consist of three basic components:

- 1) Be unique or specific to the individual situation;
- 2) Focus on results or outcomes; and
- 3) Be determined cooperatively by the police and the community they serve.

Sub-issue 1: What types of services will law enforcement provide? The research has indicated that in the future California law enforcement agencies will be engaged in the delivery of a broad range of services. Subject matter experts forecast that law enforcement should expect a continuous increase in both the amount and types of services provided over the next 10 years. The research also indicates that law enforcement should expect a greater increase in demand for non-enforcement related services than for traditional enforcement related services. These non-enforcement related services are often associated with the so-called quality of life issues and are the focus of the new community policing strategies which are dominating policing across the nation.

Sub-issue 2: What services will be evaluated to measure effectiveness? Traditionally, law enforcement has sought to measure effectiveness in terms of activity outputs. Activities, such as the number of reported crimes, cases cleared, and the speed of response to calls for service, form the basis for this type of evaluation. The new community policing strategies, however, challenge the enforcement based approaches of the past and stress activities which are service related. Service activities, such as organizing neighborhoods and conducting crime prevention education, may be highly valuable but are not readily quantifiable.

The researcher has concluded that the effectiveness of these

various law enforcement services will be determined by the results or outcomes they produce. It is highly unlikely that any single police activity/service can provide the comprehensive picture necessary to evaluate effectiveness of a police response to a problem. In most instances, it will be a unique combination of activities and services that will be evaluated to determine effectiveness.

Sub-issue 3: What criteria will be used to evaluate effectiveness?
To many citizens, the most important aspect of police performance is the impact police activities have on them and their community. The research has demonstrated that it is the outcome of policing which is of primary concern to communities. Police may perform a variety of service activities very well but if those services do not accomplish anything of value their activities have no value. The measure of effectiveness, therefore, is not found within the proficiency of performing the activity itself but, rather, within the results of the activities performed. Future evaluation criteria will most likely be driven by outcomes rather than outputs.

Recommended Actions: The decade of the 1990's will see California law enforcement faced with many challenges to the traditional methods of operation. Along with these challenges come opportunities for growth and development in the improvement of service delivery. To take full advantage of these opportunities,

local agencies must move quickly to develop and strengthen their relationship with the communities they serve. In light of the information gained during this study, the researcher recommends the following:

- Law enforcement agencies must establish service to the community as a priority in their mission statements, organizational values, policies and procedures.

- Police/community relationships must be given the highest organizational priority.

- Local agencies must actively seek to develop working partnerships with the various residential, business and governmental communities they serve.

- Agencies must train personnel in problem solving, employing a variety of new techniques and utilizing new resources.

- Local agencies must develop new personnel performance evaluation systems which provide rewards and sanctions for individual officers who carry out the mission.

- Local agencies must develop and regularly employ mechanisms to assess community input.

Recommendations for Future Study: During the course of this study the researcher has identified several issue areas that appear to be worthy of future study:

In order to be responsive under community policing, police have to be able to identify what the community wants. How will the police resolve conflicting demands from community interests? What if the community is apathetic? What if no "community" exists at all?

As part of community policing, police often become self-appointed advocates for community improvements. Do we want the police to assume such a political role? How will conflicts with elected politicians and appointed officials be resolved?

In community policing, police often emphasize fear reduction, citizen satisfaction, and problem solving over crime fighting. Should the police be marketing these services or concentrating on improving their success in accomplishing their crime control mission?

APPENDIXES

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EXPERTS INTERVIEWED

David Couper, Chief of Police for the City of Madison, Wisconsin and author of How to Rate Your Local Police Chief

John E. Eck, Associate Director of Research for the Police Executive Research Forum and author of numerous publications on problem oriented and community policing

Craig B. Fraser, Phd., Director of Planning and Research for the City of Santa Ana Police Department, consultant on police management, and former researcher for PERF

Herman Goldstein, Professor, University of Wisconsin, Madison School of Law. Goldstein developed the concept of problem oriented policing and is the author of numerous publications on the subject

Allison P. Hall, Phd., Deputy City Manager for the City of Irvine, California and former Assistant to the Chief of the Santa Ana Police Department

George Kelling, Phd., Professor of Law, University of Wisconsin in Madison, and author of the community policing articles, Broken Windows and Making Neighborhoods Safe

Jerry Sanders, Commander, San Diego Police Department and director of the Southeastern Division problem oriented policing program

William Spelman, Phd., Associate Professor, Lyndon B. Johnson School of Public Affairs, University of Texas, where he teaches crime policy and local government management

Darrel W. Stephens, Executive Director, Police Executive Research Forum, Washington D.C., author, and former Chief of the Newport News, VA. Police.

LIST OF EMERGING TRENDS

Number of calls for police service
Level of demand for non-enforcement related services
Amount of government spending for police services
Degree of public involvement in police policymaking
Level of citizen satisfaction with police
Number of citizen complaints about police
Level of demand for enforcement related services
Number of violent crimes committed
Amount of available jail space
Degree of media involvement in police affairs
Amount of privatization of law enforcement
Number of successful criminal prosecutions
Amount of time spent in response to calls for service
Amount of time spent in crime prevention activities
Degree of involvement of community based organizations
Level of public concern for social issues
Level of police corruption
Degree of public confidence in law enforcement
Degree of special interest group involvement in policymaking
Level of political involvement in police operations
Amount of time spent handling non-police problems
Amount of private enterprise interest in law enforcement

LIST OF CRITICAL EVENTS

Statewide quality of life standards adopted
Voter initiative limits government spending
National police performance standards adopted
Police required to enforce environmental laws
Police agency sued for malpractice
Cable TV broadcasts nightly live police events
Courts mandate video taping of all police/citizen contacts
Legislature mandates cultural awareness training for police
Courts mandate police ethnic composition match their community
Local citizen group forms vigilante committee
Violent crime rate reaches 10-year high
Legislature enacts mandatory police/citizen review boards
Major riot in a suburban community
Municipality or County declares bankruptcy
Municipal police agency adopts fee for service plan

MODIFIED CONVENTIONAL DELPHI PANEL

President, Total Quality Management consulting firm

Deputy City Manager, medium sized city

Finance Director, medium sized city

Consultant, organizational development firm

Executive Assistant to the City Manager, medium sized city

Budget Director, medium sized city

President, medium sized city neighborhood association

Executive Assistant to the City Council, medium sized city

Captain, medium sized police department

Lieutenants, medium sized police department

MAYOR
Dan Young
MAYOR PRO TEM
Miguel A. Pulido
COUNCILMEMBERS
John Acosta
Daniel E. Griset
Patricia A. McGuigan
Rick Norton
Robert L. Richardson



CITY OF SANTA ANA

POLICE DEPARTMENT
24 CIVIC CENTER PLAZA • P.O. BOX 1981
SANTA ANA, CALIFORNIA 92702

APPENDIX E
ALL-AMERICA CITY 1982-83
CITY MANAGER
David N. Ream
CITY ATTORNEY
Edward J. Cooper
CLERK OF THE COUNCIL
Janice C. Guy

August 30, 1991

Dear

I would first like to express my sincere appreciation for your participation in my Command College project. The process you are involved in is called a Modified Conventional Delphi and is used for forecasting data relative to the issue and sub-issue questions for my project.

The issue question is:

What processes will be used to evaluate police effectiveness by the year 2001?

The sub-issues are:

What types of services will law enforcement provide?

What services will be evaluated to measure effectiveness?

What criteria will be used to evaluate the service(s)?

A panel of subject matter experts has already considered the issue and sub-issue questions and identified specific "trends" and "events" which they believe have the most significant impact on the issue. You are asked to use your personal knowledge and expertise to make judgments about the future of these trends and events. Your forecasts will provide data for me to analyze and critique, making it possible to develop several potential future scenarios for the issue question.

Instructions for this process are attached. It may look like a lengthy process, but I have broken the process into segments to make it easier to understand and to follow. It should take less than one hour to complete the entire process. Should you experience difficulty understanding the instructions, please feel free to call me at (714) 647-5020 for clarification. It is important that you follow the instructions carefully to make the data most useful and valuable in the process required for my Command College project.

I believe this is an important and timely issue and that your level of expertise will serve to make the project top quality. When the project is finished, I will gladly make the paper available to all who participate as well as a list of the panel members. I hope you will find the process interesting. Time is a critical factor in getting the project accomplished, so I would greatly appreciate your prompt attention and response in completing the forms. Thank you again for your participation.

Sincerely,

F. PETER JENSEN, Captain
Santa Ana Police Department

DELPHI PANEL

Phase I of the Delphi process involved a panel of experts selecting trends and events which they deemed as having significant impact on the process of evaluating police effectiveness by the year 2000.

The trends and events selected by the panel are listed as follows:

TRENDS

1. Level of demand for enforcement-related police services
(Enforcement-related services are defined as traditional police activities involving the identification, apprehension, and prosecution of criminal offenders)
2. Level of demand for non-enforcement-related police services
(Non-enforcement related services are defined as police activities such as community relations, public education, crime prevention, and urban planning)
3. Level of spending for police services
4. Level of public involvement in police policy making
5. Level of citizen satisfaction with police services
6. Level of citizen complaints for police conduct

EVENTS

1. Statewide violent crime rate reaches 10-year high
2. Citizen review boards mandated for municipal police agencies
3. Statewide police service user fees enacted
4. Municipal and county jails close to misdemeanor offenses
5. A municipal government contracts with the private sector for basic law enforcement services. (Basic services are defined as security patrol, traffic control, report taking, etc.)

TREND FORECASTING

A TREND is a cluster of interrelated events, beginning in the past and emerging into the future. Trends are evaluated in terms of strength. Strength of the trend is estimated relative to a fixed point in time.

In this study, the fixed point in time is Today, which is assigned an arbitrary value of 100. All evaluations, therefore, are relative to 100.

Example: You want to estimate the strength of the following trend:
Level of demand for enforcement-related police services

Relative to Today (100), what would have been your estimated level for 1986?

If you decide that the level was only about half of what it is today, your estimate is 50.

You are then asked to estimate what you think the trend level will be by 1996, keeping in mind that Today is always 100.

If you decide that the trend level will increase, your estimate is 125.

What do you think the trend level will be by 2001?

Your answer? It continues to increase and is estimated to be 150.

Think now about what you would like to see happen to the level of this trend five and ten years hence. In the world of the possible, what should be the level of this trend by 1996, and by 2001?

Your answer? The should be is at a level of 150 by 1996, and about double at 200 by 2001.

THE FOLLOWING IS A SUMMARY OF YOUR FORECAST EXAMPLE:

Was/Will be forecast	=	<u>1986</u> 50	<u>Today</u> 100	<u>1996</u> 125	<u>2001</u> 150
Should be forecast	=	-	100	150	200

The following page contains forecasts and evaluations for six different trends.

PLEASE FORECAST AND EVALUATE THE FOLLOWING TRENDS:

1. Level of demand for enforcement-related police services

Was/Will be forecast	=	$\frac{1986}{()}$	$\frac{\text{Today}}{100}$	$\frac{1996}{()}$	$\frac{2001}{()}$
Should be forecast	=	-	100	()	()

2. Level of demand for non-enforcement-related police services

Was/Will be forecast	=	$\frac{1986}{()}$	$\frac{\text{Today}}{100}$	$\frac{1996}{()}$	$\frac{2001}{()}$
Should be forecast	=	-	100	()	()

3. Level of spending for police services

Was/Will be forecast	=	$\frac{1986}{()}$	$\frac{\text{Today}}{100}$	$\frac{1996}{()}$	$\frac{2001}{()}$
Should be forecast	=	-	100	()	()

4. Level of public involvement in police policy making

Was/Will be forecast	=	$\frac{1986}{()}$	$\frac{\text{Today}}{100}$	$\frac{1996}{()}$	$\frac{2001}{()}$
Should be forecast	=	-	100	()	()

5. Level of citizen satisfaction with police services

Was/Will be forecast	=	$\frac{1986}{()}$	$\frac{\text{Today}}{100}$	$\frac{1996}{()}$	$\frac{2001}{()}$
Should be forecast	=	-	100	()	()

6. Level of citizen complaints for police conduct

Was/Will be forecast	=	$\frac{1986}{()}$	$\frac{\text{Today}}{100}$	$\frac{1996}{()}$	$\frac{2001}{()}$
Should be forecast	=	-	100	()	()

EVENT FORECASTING

An EVENT is a discrete occurrence. It either happens or it doesn't happen. The occurrence of an event can be pinpointed in time.

Occurrence is forecasted in terms of percent probability. A forecast of 100% means that the event probably will happen; 0% means that the event probably will not happen by the forecasted time.

The word "probably" is important. Nobody can absolutely guarantee that an event will, or will not, occur by the particular time of forecast in spite of a forecast of 100%, or of 0% probability. A 50% probability means that the event has a 50/50 chance; an 80% probability increases the odds to 80/20. Because an event cannot do more than "probably occur," 100% is the top of the probability scale.

Example: You want to estimate the percent probability of occurrence of the following event:

Statewide violent crime rate reaches 10-year high

Is there any chance that this event will occur by 10 years from now?

If you answer yes, then how many years will it be before the probability first exceeds zero?

You estimate about 2.5 years.

And, by 1996, what do you think the probability of occurrence will be?

You estimate the probability is 40%.

What is the probability of occurrence by 2001?

You estimate the probability will be 75% by 2001.

Now let's assume that the event actually happens. On a scale of 0 to 10, how would you rate the positive impact of this event on the issue being studied?

You believe it would be high. On a scale of 0 to 10, you would rank the positive impact as 8.

How about the negative impact if you were to rank it on the same scale of 0 to 10?

You believe it to be 2.

THE FOLLOWING IS A SUMMARY OF YOUR FORECAST EXAMPLE:

Probability first exceeds zero: 2.5 years
Probability by 1996 = 40%; by 2001 = 75%
Positive impact if event occurs: 8
Negative impact if event occurs: 2

PLEASE EVALUATE AND FORECAST THE FOLLOWING EVENTS:

1. Statewide violent crime rate reaches 10-year high

Probability first exceeds zero: _____ years
Probability by 1996 = _____%; by 2001 = _____%
Positive impact if event occurs: _____
Negative impact if event occurs: _____

2. Citizen review boards mandated for municipal police agencies

Probability first exceeds zero: _____ years
Probability by 1996 = _____%; by 2001 = _____%
Positive impact if event occurs: _____
Negative impact if event occurs: _____

3. Statewide police service user fees enacted

Probability first exceeds zero: _____ years
Probability by 1996 = _____%; by 2001 = _____%
Positive impact if event occurs: _____
Negative impact if event occurs: _____

4. Municipal and county jails close to misdemeanor offenses

Probability first exceeds zero: _____ years
Probability by 1996 = _____%; by 2001 = _____%
Positive impact if event occurs: _____
Negative impact if event occurs: _____

5. A municipal government contracts with the private sector for basic law enforcement services. (Basic services are defined as security patrol, traffic control, report taking, etc.)

Probability first exceeds zero: _____ years
Probability by 1996 = _____%; by 2001 = _____%
Positive impact if event occurs: _____
Negative impact if event occurs: _____

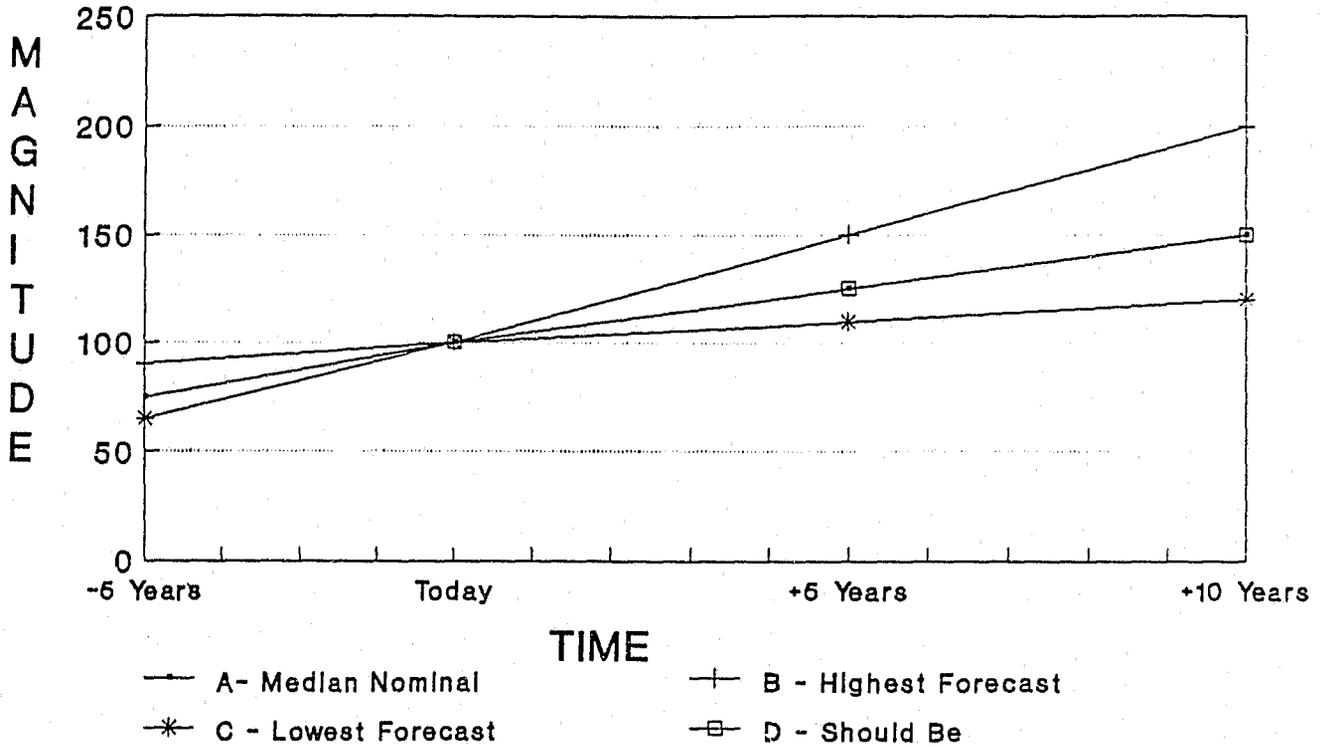
TREND STATEMENT	LEVEL OF THE TREND (today=100)			
	5 YEARS 1986	TODAY	5 YEARS 1996	10 YEARS 2001
Level of Demand for Enforcement-Related Services T-1	75	100	125 125	150 150
Level of Demand for Non-Enforcement Related Services T-2	75	100	125 130	150 160
Level of Spending for Police Services T-3	65	100	130 125	175 150
Level of Public Evolvment in Police Policy Making T-4	60	100	130 130	170 160
Level of Citizen Satisfaction with Police Services T-5	90	100	100 125	120 150
Level of Citizen Complaints Regarding Police Services T-6	80	100	125 100	130 100

EVENT STATEMENT	YEARS UNTIL PROBABILITY FIRST EXCEEDS ZERO	PROBABILITY		IMPACT ON THE ISSUE AREA IF THE EVENT OCCURRED	
		FIVE YEARS 0-100	TEN YEARS 0-100	POSITIVE 0 - 10	NEGATIVE 0 - 10
Violent Crime Rate Reaches 10 year High E-1	3	50	85	+2	-8
Citizen Review Boards Mandated E-2	5	20	60	+6	-3
Police User Fees Adopted E-3	5	30	75	+5	-6
Jails Close to Misdemeanors E-4	3	40	75	+4	-6
Contract Police Services E-5	2	30	75	+5	-6

* Eleven member Modified Conventional Delphi panel

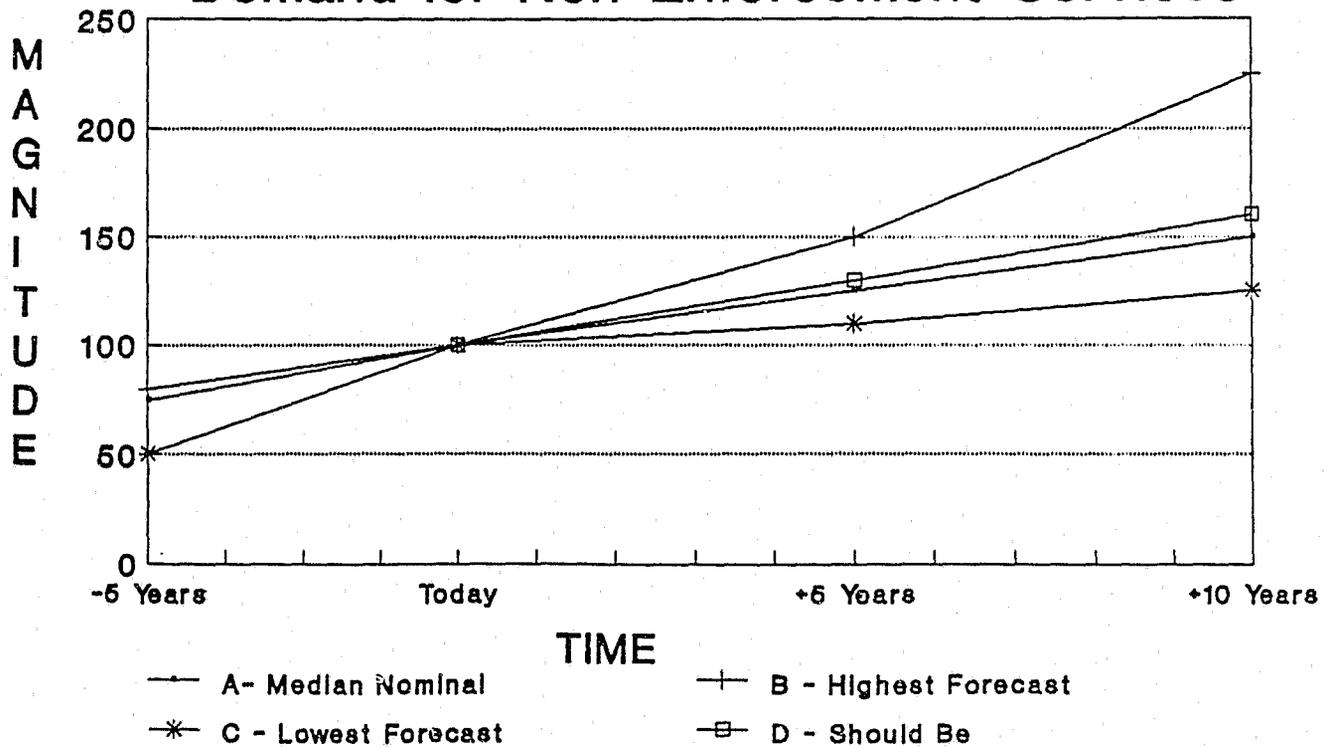
TREND #1

Demand for Enforcement Service



TREND #2

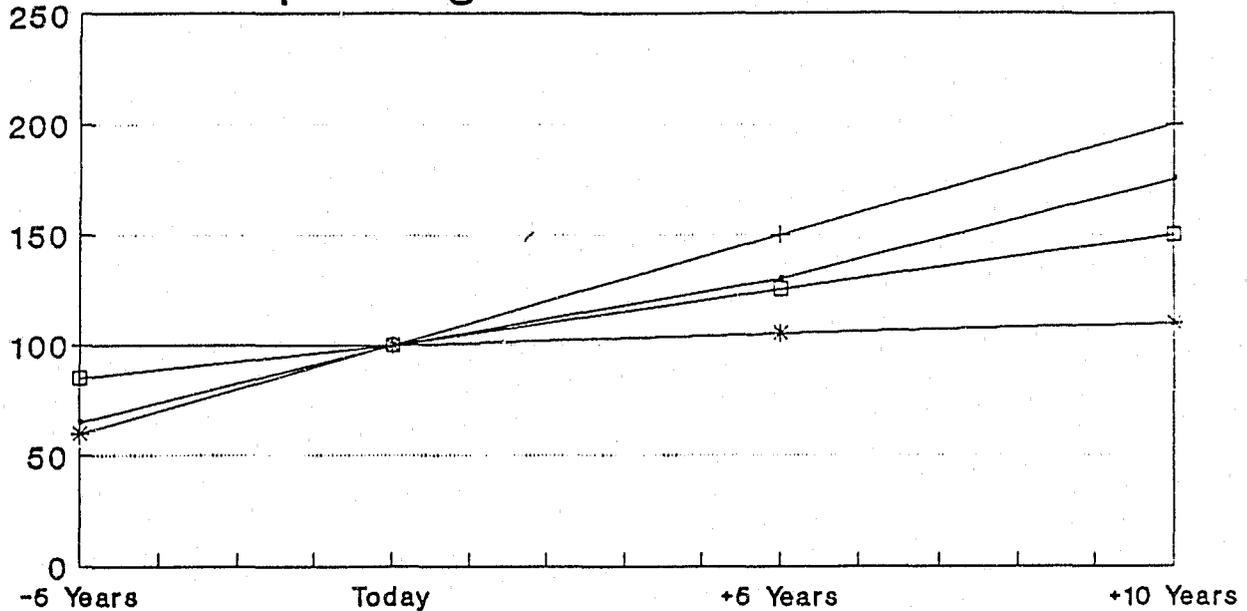
Demand for Non-Enforcement Services



TREND #3

Spending For Police Services

MAGNITUDE



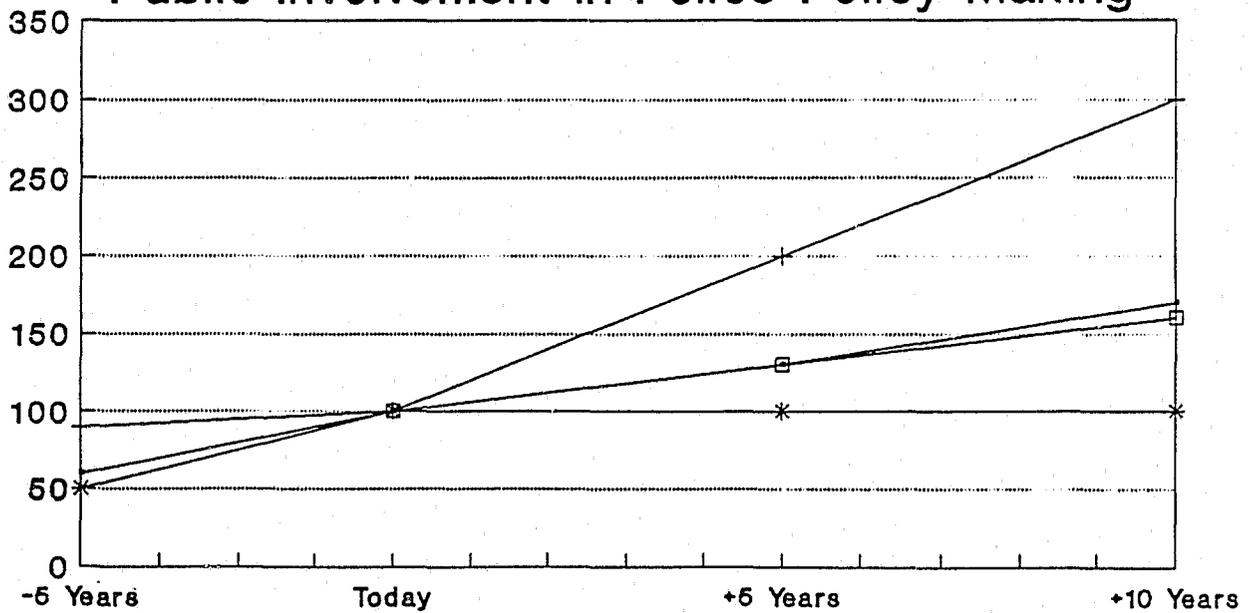
TIME

- A - Median Nominal
- * C - Lowest Forecast
- + B - Highest Forecast
- D - Should Be

TREND #4

Public Involvement in Police Policy Making

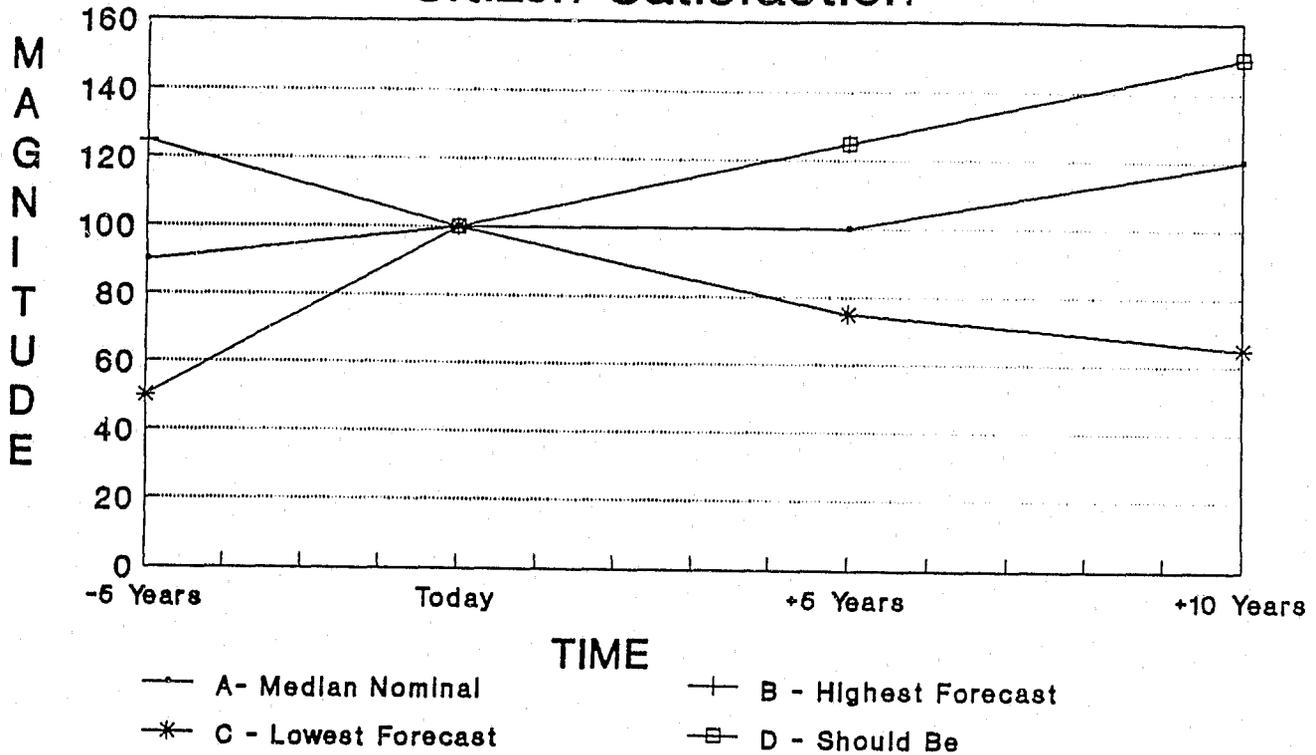
MAGNITUDE



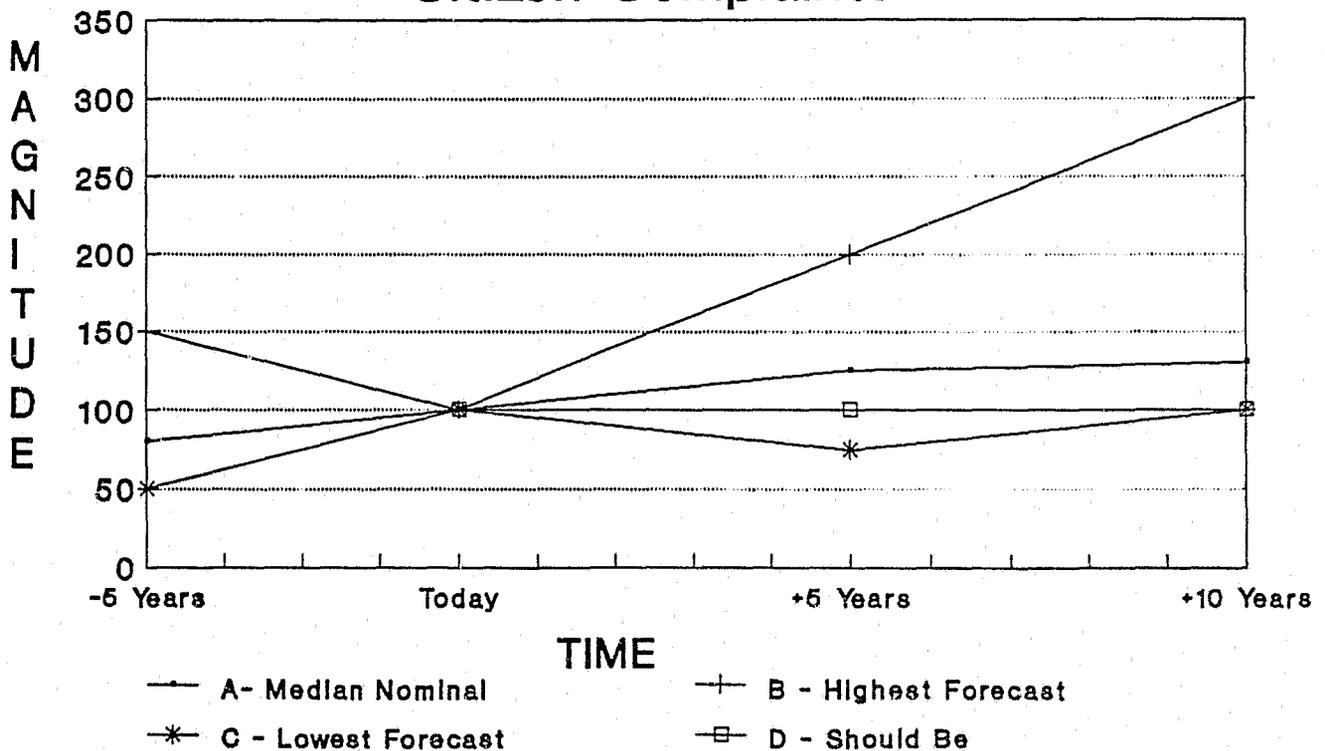
TIME

- A - Median Nominal
- * C - Lowest Forecast
- + B - Highest Forecast
- D - Should Be

TREND #5 Citizen Satisfaction

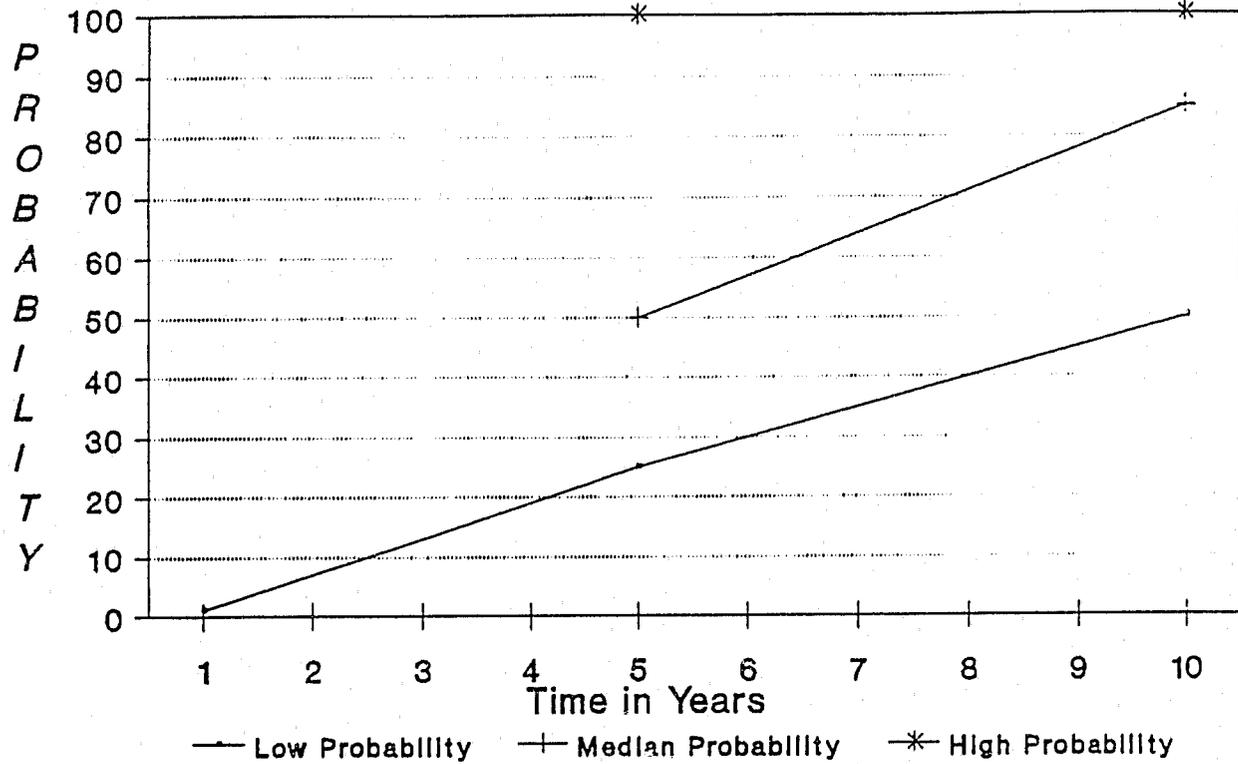


TREND #6 Citizen Complaints



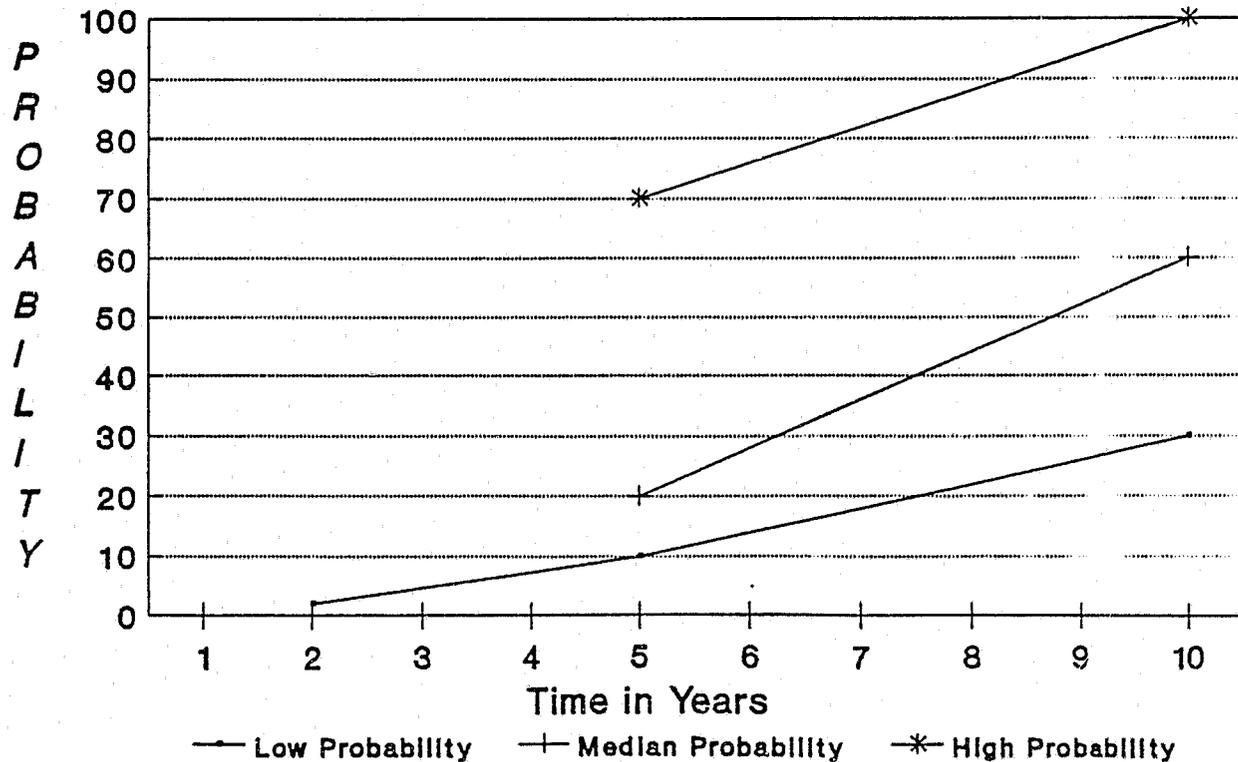
EVENT #1

Violent Crime Rate Reaches 10 Year High

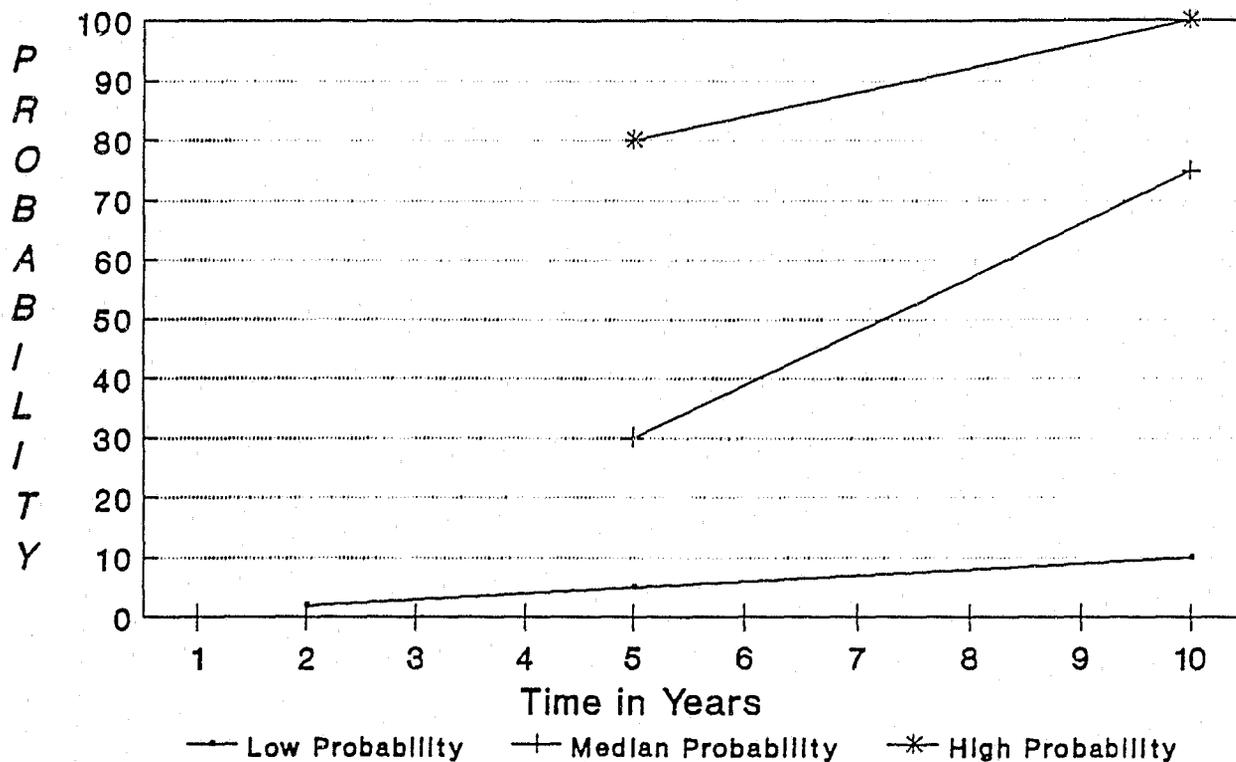


EVENT #2

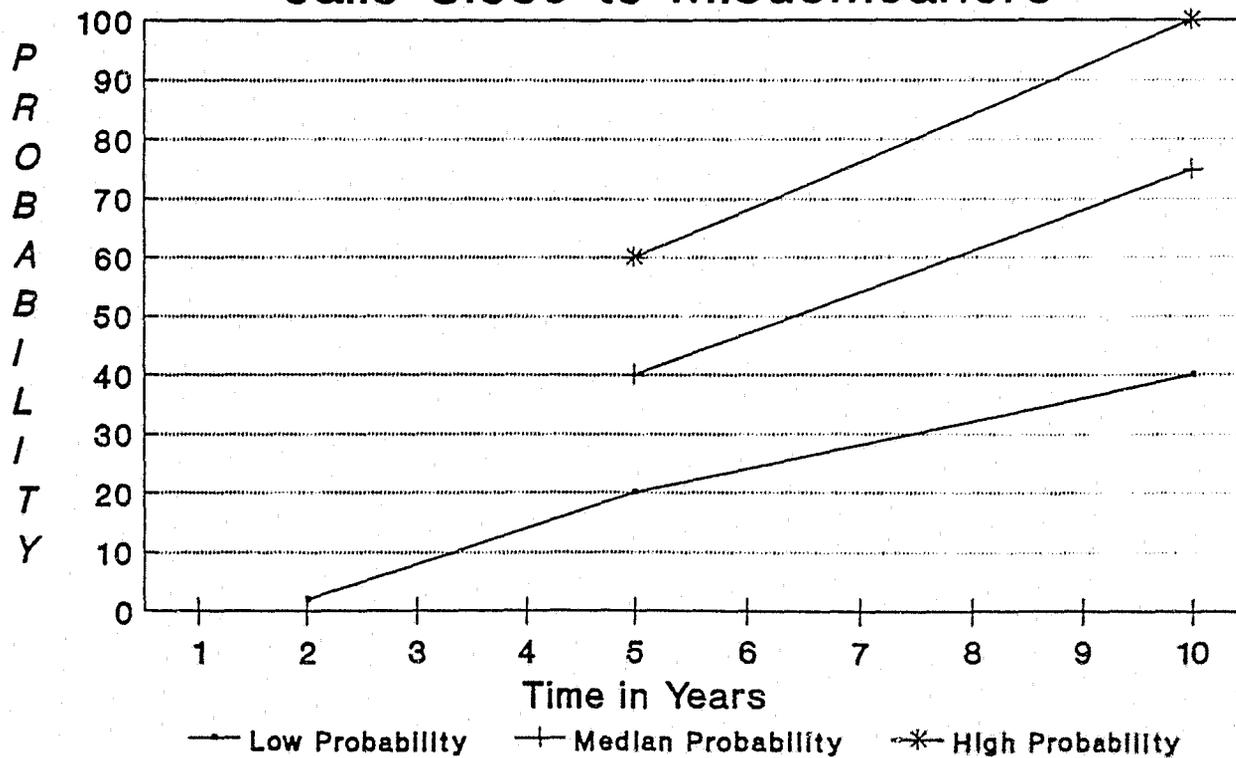
Citizen Review Boards Mandated



EVENT #3 Police User Fees

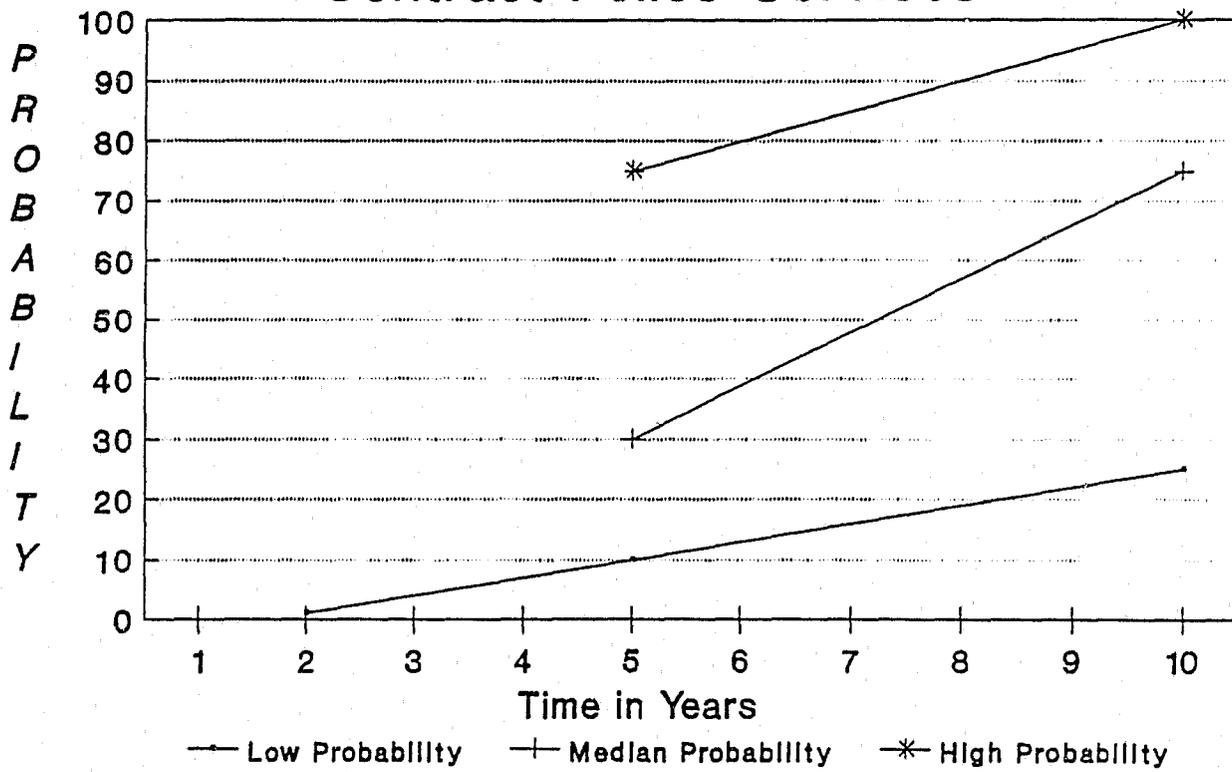


EVENT #4 Jails Close to Misdemeanors



EVENT #5

Contract Police Services



CROSS IMPACT ANALYSIS

Impacting
Events

Impacting Events and Trends

Maximum Impact (% change ±)
(6 member consensus group)

**	E-1	E-2	E-3	E-4	E-5	T-1	T-2	T-3	T-4	T-5	T-6
E-1	X	+40	+25	+30	+45	+90	--	+40	+45	-40	-20
E-2	--	X	+20	--	+15	+35	+75	+25	+100	+80	-35
E-3	--	+55	X	--	+85	-15	-45	-30	+40	-25	--
E-4	+85	--	--	X	+25	+20	+20	--	+35	-45	--
E-5	-15	+35	+65	--	X	+20	+35	-15	+65	-20	--

ACTORS

E-1 = 9
E-2 = 8
E-3 = 7
E-4 = 5
E-5 = 8

IMPACTED TOTALS OR REACTORS

E-1	E-2	E-3	E-4	E-5	T-1	T-2	T-3	T-4	T-5	T-6
2	3	3	1	4	5	4	4	5	5	2

**** LEGEND**

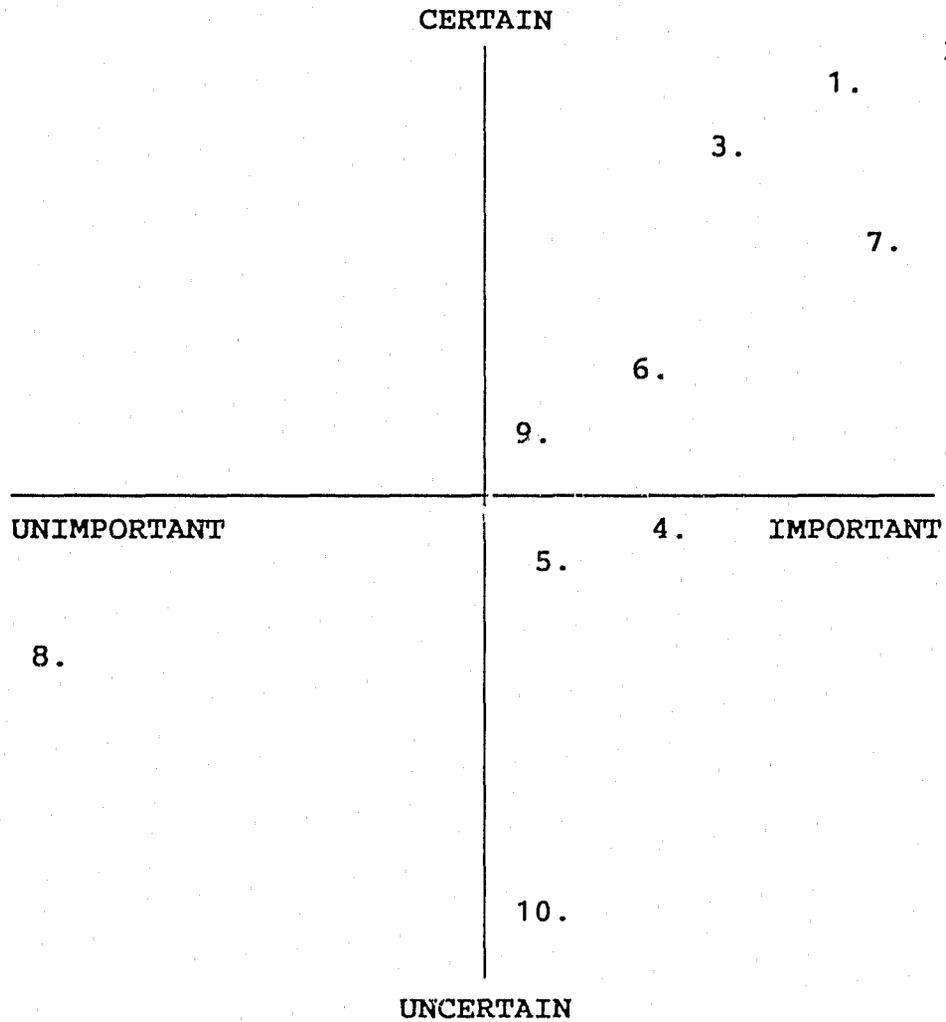
E-1 Violent Crime Rate Reaches 10 Year High
 E-2 Citizen Review Broads Mandated
 E-3 Police User Fees Enacted
 E-4 Jails Close to Misdemeanors
 E-5 Contract Police Services

T-1 Demand for Enforcement-Related Services
 T-2 Demand for Non-Enforcement Service
 T-3 Sending for Police Services
 T-4 Public Evolvevement in Police Policy Making
 T-5 Citizen Satisfaction
 T-6 Citizen Complaints

READINESS/CAPABILITY CHART

	READINESS			CAPABILITY		
	High	Medium	Low	High	Medium	Low
Santa Ana Police Chief		X			X	
Senior Police Managers			X			X
Organizational Leadership	X			X		
Organizational Communication			X		X	
Police Officer Association		X			X	
Organizational Culture		X			X	
Hispanic Groups		X			X	

ASSUMPTION MAPPING



- 1. City Council
- 2. Local Media
- 3. City Manager
- 4. Homeowners Assn.
- 5. Realtors

- 6. School Board
- 7. Police Chief
- 8. City Departments
- 9. Hispanics
- 10. POA

STAKEHOLDERS AND ASSUMPTIONS

City Council: Generally Supportive - Critical
Support based largely on political climate at the time

Local Media: Suspicious - Important
Will monitor program closely

City Manager: Supportive - Important
Will want benefit to the City

Homeowners Assns.: Demand Involvement - Important
Will seek local benefit

Realtors: Generally Supportive - Somewhat Important
Looking to better City image for economic gain

School Board: Generally Supportive - Somewhat Important
Looking to better the image of the school district

Police Chief: Cautious - Critical
Will want to play it safe and stay out of conflict

City Departments: Generally Supportive - Unimportant
Do not want additional drains on their resources

Hispanic Community: Cautiously Supportive - Important
Will demand representation and participation

Police Officers Assn.: Cautious - Somewhat Important
Will ask, What's in it for us?
Snaildarter - Might cause a serious problem with the
implementation of the strategy.

Responsibility Charting:

Responsibility charting is a process designed to ensure that the critical participants in the change process are clear about their responsibility for specific action steps. Responsibility charting provides a graphic display of the actions to be taken, the actors involved in those actions, and the level of responsibility for those actions.

RESPONSIBILITY (RASI) CHART					
Actors —————>	Chief of Police	Task Force Chairman	SAPD Senior Manager Team	City Manager	Mayor
Decisions or Actions					
Formulate Policy - Mission	R	I	S	I	I
Designate T F Chairman	R	I	S	A	I
Select T F Members	R	I	I	A	S
Design T F Program	A	R	I	I	-
Begin T F Program	A	R	S	S	S
Assess Organization	A	I	R	-	-
Identify Resources	A	I	R	-	-
Maintain Contact Stakeholders	A	R	I	S	S
Monitor Program Reaction	A	R	S	I	I
Periodic Assessment of Program	I	R	I	I	I
<p>■ Legend</p> <p>R = RESPONSIBILITY - for an action, but necessary authority A = APPROVAL - must approval, has power to veto the action S = SUPPORT - has to provide resources regardless of support I = INFORM - must be informed before action, but cannot veto - = IRRELEVANT - to that particular action</p>					

END