

144615

A MODEL FOR DEVELOPMENT  
OF POLICE OFFICER UNDERSTANDING OF  
AND ADHERENCE TO  
ETHICAL STANDARDS

by

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Command College Class XVI

California Commission on  
Peace Officer Standards and Training

Sacramento, California

June 1993

144615

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**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 the Command College project are those of the author and are not necessarily those of the Commission on Peace Officer Standards and Training (POST).**

## EPIGRAPH

..to feel or act towards the right person to the right extent at the right time for the right reason in the right way - that is not easy, and it is not everyone who can do it. Hence to do these things well is a rare, laudable, and fine achievement.

Aristotle, The Nicomachean Ethics

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## ACKNOWLEDGEMENTS

I was able to complete the Command College with the support and encouragement of many people.

I am grateful that POST created Command College and continues to provide the experience to law enforcement managers. Our future is brighter because of the Command College. I also want to thank the outstanding faculty for expanding my world and making me a better person.

I am proud to be the first Command College graduate from the San Rafael Police Department. I wish to thank the late San Rafael Chief of Police, Henry W. Ingwersen, for providing me this opportunity and to current Chief of Police, P. Robert Krolak, for his unwavering support while I completed this program.

I thank my colleagues for showing patience and support during the many times that I was away from my assignment during the last two years. They always came through for me and the department.

I want to acknowledge my fellow students in Class XVI. On the first day of the first week it was obvious that our class was special. They are professional law enforcement officers and fine people. I am thankful that we met, studied together, and became friends.

I want to thank my family for the love, support, and inspiration they have provided me every day and especially during my time in Command College. My children, Melina, Cory, and Brady, never complained and always expressed unconditional caring and support, even though I spent a lot of time away from home. I am blessed to have such wonderful children. I am a very lucky person to have Dr. Sandy Boyd as a partner in life. I thank her for her priceless professional assistance. She supports me, motivates me, and most importantly, makes me laugh.

## INTRODUCTION

For decades parents and teachers in the United States have been telling grammar school students that police officers are their friends; that if children are in trouble or need help a police officer will take care of them. Police lending assistance in troubled times created a sense of security that was carried into adulthood. Unfortunately, frequent nationwide revelations of police officer misconduct have shattered this security. Communities are being bombarded with print and video information, and the resultant opinions, about police performance. Consider the negative impression that the following headlines made on children old enough to comprehend, or adults concerned about the quality of life in their community:

"Detroit Cops Fired Over Fatal Beating"<sup>1</sup>

"Tape Catches Texas Officer Beating Suspect in Handcuffs"<sup>2</sup>

"Jury Finds 5 Law Officers Guilty of Accepting Bribes in Kentucky"<sup>3</sup>

"Former Cop Pleads Guilty in Rape Cases"<sup>4</sup>

"Judge Moves to Oversee L. A. Sheriff's Department"<sup>5</sup>

Citizens have expressed concern for the criminal nature of the acts described in these articles. However, of equal importance is the credibility of law enforcement has been damaged by these incidents of police misconduct. Increasing police misconduct and the resultant damage to police credibility create disturbing implications for the future of law enforcement.

Police officers must have credibility with citizens to function effectively. Society makes an agreement with police officers by granting police officers power that other citizens do not have. In return society expects police officers to provide safety and security. As part of the agreement society will support credible police officers. This support includes granting officers

sufficient authority and discretionary power to effectively enforce the law, complying with an officer's lawful orders, and providing an officer with needed information. If citizens do not trust police officers, if police credibility does not exist, none of this support will occur. Eventually, the public will react to its belief that police officers are not upholding their part of the agreement by restricting authority and discretion. If widespread police misconduct continues, the results will be catastrophic. Police officers will be denied public support and adequate authority to perform effectively. Police officers will not be able to fulfill their part of the agreement.

Every level of law enforcement and every state and local community has been touched by police misconduct. While police misconduct usually produces intense public interest, a broad perspective is needed to establish context for this study.

Revelations of misconduct in American society do not just involve the police. The misconduct uncovered in the Congressional check overdraft scandal,<sup>6</sup> the Stanford University misappropriation of federal funds scandal,<sup>7</sup> and the United States Navy's Tailhook investigation are all current examples of misconduct.<sup>8</sup>

In the biggest economic scandal in the United States of America's history, the continuing Savings and Loan scandal, United States Senator Alan Cranston was reprimanded, not for illegal behavior, but for improper and repugnant behavior.<sup>9</sup> Addressing his colleagues, he agreed to accept the reprimand and apologize, but refused to accept responsibility for his unethical behavior. He rationalized his unethical conduct by accusing them of committing the same acts. He avoided responsibility by claiming that everyone does it. These examples suggest that unethical behavior, specifically in government, frequently occurs in contemporary society and that people

are not always willing to accept responsibility for their unethical actions. Cranston's example highlights the problem of unethical conduct in all government functions. It emphasizes the importance of the relationship between government agents and the public. Unethical conduct is a broad problem, not just a police problem.

Despite the breadth of the problem, concentration on law enforcement behavior is appropriate because police officers are entrusted with special powers that other citizens in our society are not allowed to have. Police officers are authorized to use force when necessary, to restrict liberty, and to seize property. There are over 600,000 law enforcement officers in the United States.<sup>10</sup> These officers are granted specific authority and broad discretion to enforce the law effectively. Most officers work without direct supervision. These conditions create great potential for abuse of power by police officers. Fear of governmental abuse has always been a concern for citizens.

While almost blind support for police practices was commonplace in past decades, public criticism of police behavior is increasing. The 1980's saw the development of citizen review boards to evaluate police misconduct, such as in the cities of Berkeley and San Francisco, California.<sup>11</sup> These boards have generated a high level of political controversy, and to this day, the effectiveness of citizen review boards has not yet been decided.

A case in point is the recent controversy over creation of a citizen review board in San Jose, California. After intense political maneuvering by special interest groups and city government, a single position of auditor was created to review police conduct in San Jose.<sup>12</sup> This fell far short of the broad-based citizen board many citizens had desired. Underlying these controversies is the clear message that the public no longer unconditionally trusts police officers. Citizens want to be sure that the police act properly and

in the public interest. To compensate for this growing lack of trust, these communities have done something that is unusual; they have created an additional form of government to control an existing form of government. This emphasizes the importance of ethical government conduct to citizens.

Evidence of negative public reaction to police misconduct can be found in recent public opinion polls and studies. After a highly publicized March 1991 Los Angeles incident, the Los Angeles Times conducted a citizen poll which found that over sixty percent of respondents believed that police brutality was common in Los Angeles.<sup>13</sup> In fact, the Christopher Commission studied the Los Angeles Police Department in the aftermath of the 1991 incident and discovered data that indicated problems with officer use of force and other misconduct. The Commission polled 650 officers and found that thirty percent of the officer respondents thought use of force was a serious problem in the department.<sup>14</sup> The Commission also discovered that five percent of respondent officers believed police officers should be allowed to use "street justice" against someone who had committed a heinous crime. Another eleven percent didn't have an opinion on the issue. This indicates that many officers fail to recognize dispensing "street justice" as an important ethical issue.<sup>15</sup> Changing negative public reactions to police officers to positive reactions will be difficult when some officers believe that "street justice" is a legitimate police action.

In 1992, the United States Justice Department published results of its annual poll that documented a slow decline in positive public opinion of police officer honesty and ethical standards.<sup>16</sup> The poll also showed that public respect for local police had decreased by ten percent since 1965.<sup>17</sup> While these percentages remain high, the decline causes concern for the future when combined with the changing attitudes of young people.

The number of high school seniors expressing positive attitudes toward police have declined by over ten percent since 1979, to a disturbing twenty-eight percent. The 12th graders placed law enforcement agencies last in the poll of positive attitudes held for selected institutions; below labor unions, public schools, and large corporations.<sup>18</sup> American young people will grow to become future voters and leaders. If they do not have confidence in or respect for police officers, future citizen support for law enforcement will not exist.

Many of these young people will be hired as police officers as older officers retire or resign. What attitudes and behavior characteristics will these people bring to law enforcement? One important future related aspect of police misconduct is the general ethical standards of new police officers.

A recent study completed by the Josephson Institute for Ethics discovered that sixty-one percent of high school students said they cheated on an exam and that thirty-three percent had stolen something.<sup>19</sup> Students also said that they would falsify resumes and inflate expense claims. A recent study at Rutgers University revealed wide-spread cheating among economics, communications, and psychology students.<sup>20</sup> Extending this question to the workforce in general, Kanter and Mirvis, found that forty-three percent of the workforce believe that, "lying, being two-faced, and doing whatever it takes to make a buck are all part of basic human nature."<sup>21</sup> The prospect of hiring police officers with such standards is frightening.

The changing nature of the American workforce is also of concern. Police ranks have always been predominantly filled by white males. Sometime after the turn of the century whites will not be a majority in California.<sup>22</sup> Racial, gender, and cultural barriers to police hiring have been reduced. Many people that would not have been selected for police officer

positions in the past due to latent biases are now being employed. Increased diversity of the workforce will inevitably produce differing attitudes and values among new police officers. How will this affect standards of police behavior in the future? Will law enforcement be able to develop a common ethical standard of performance?

Proper police behavior may seem a virtuous and easily attainable goal in a democratic society. However, police officers are human and subject to human character weaknesses and failings. A review of the literature on this subject revealed extensive discussion and controversy on the moral nature of people. The purpose and responsibilities of government and its agents, in this case police officers, are also important to consider. Combining the sometimes imperfect moral nature of humans and the powerful role of police officers in American democratic society demonstrates the gravity of proper police behavior. Police officers must behave ethically so they can build and maintain credibility with the public. If the public trusts police officers, officers will be provided with the support and authority they need to perform effectively. They can then uphold their part of the agreement with society.

Unethical police behavior has created concerns for the future of law enforcement, but there are too many concerns to address in one study. Therefore, the scope of this study is focused. Instead of addressing specific ethical standards of conduct or disciplinary steps taken after unethical conduct occurs, this study will address preventative approaches to unethical police conduct. It will focus on how future police officers will be educated in ethical behavior and how police agencies will ensure adherence to ethical standards ten years into the future.



## FUTURES STUDY

### Statement of the Issue

There is great concern for the future effectiveness of law enforcement. Many recent acts of police misconduct have severely damaged the public's opinion of police officer credibility. Concerned citizens are taking corrective actions which threaten to decrease the amount of authority and discretion granted to police officers. Officers need authority and discretion to effectively serve the public. This situation has been brought about by unethical conduct by a small number of police officers. Therefore, a critical concern for the future of law enforcement is:

**What methods will law enforcement agencies use to ensure employee understanding of and adherence to ethical standards by the year 2002?**

### Research Methodology

This research project is futures oriented. It differs from traditional research methods historically used by law enforcement. Traditional research collects and analyzes past and present data and inferences are made on what will happen in the near future based on historical perspective.<sup>23</sup> Futures research is based on three premises:

1. The future is not predetermined
2. The future is not predictable
3. Future outcomes can be influenced by individual choice<sup>24</sup>

Futurists do not believe that the future can be predicted. Futurists believe that the future can be influenced by making choices today; so, if views

of the future are intelligently created (forecasted) choices may be made today to help bring about a desirable forecasted future or prevent an undesirable forecasted future from occurring. Therefore, futures research has three goals:

1. To form perceptions of the future (the possible)
2. To study likely alternatives (the probable)
3. To make choices to bring about particular events (the preferable)<sup>25</sup>

Futures analysis is an investigation, ten to twenty years into the future, of an issue that is influenced by a variety of economic, educational, environmental, political, social, and technological issues that exist synergistically today.<sup>26</sup> Six methodologies were used to forecast the future of ethical police conduct:

1. An environmental scan was used to develop current information justifying the need for studying this issue
2. A literature review was used to understand historical and philosophical context of ethical behavior
3. An impact network was used to determine specificity and scope of the study
4. A nominal group technique was used to identify related trends and events and to forecast trend intensity and event probability of occurrence
5. A cross-impact analysis was used to forecast the impact that each event would have on the other trends and events
6. Alternative scenarios were created to form three possible futures. One future was selected to use for development of a strategic plan to influence the selected future.

### Environmental Scan

An environmental scan was conducted by reviewing newspapers, periodicals, current books, and instructor presentations in the Command College. The purpose of the scan was to identify current trends and events of importance to the future of law enforcement. The study issue was selected based on the results of the scan.

#### Police Misconduct

Since 1990 there have been many instances of police misconduct which have been widely publicized. Five articles appearing in newspapers have already been noted in the introduction to this study. Many additional articles have appeared in various periodicals and newspapers. In 1991, Housing Authority officers in Oakland, California, were convicted on federal charges of conspiring to violate the civil rights of low income tenants.<sup>27</sup> In 1992, two Nashville officers were fired for beating an on-duty undercover police officer.<sup>28</sup> In 1991, a San Quentin, California, prison correctional officer plead guilty to possessing illegal drugs. He had been arrested three times on a variety of unrelated crimes prior to entering his guilty plea.<sup>29</sup> Based on these articles, police misconduct appears to be on the rise or, at the very least, under more intense public scrutiny.

#### Citizen Concern with Police Misconduct

The public has begun to express strong concern about police misconduct. The idea that police officers are abusing their power and need to be restricted or controlled seems to be growing. The formation of citizen review boards is an example of this phenomena. Many citizen review boards

have been created in California. Berkeley,<sup>30</sup> San Francisco, and Novato,<sup>31</sup> California have created review boards to oversee police operations and conduct. San Jose, California has created a review process that employs an auditor position to oversee police conduct.<sup>32</sup> Citizen review boards have created another form of government designed to protect citizens from an existing and malfunctioning form of government. Delattre describes this as, "panicky insistence on excessive civilian controls over policing."<sup>33</sup>

Citizen review boards are generating much controversy about ensuring that the police act properly and whether citizen review boards can influence the behavior of police officers. One board has been mired in continual controversy. In Berkeley, California, review board members have openly complained that some citizens have politicized the process by using the complaint process as a method of intimidating or controlling police behavior for personal benefit or political reasons.<sup>34</sup> The value of citizens creating additional levels of government to oversee existing levels of government has not been decided.

Police agencies are not the only government institutions experiencing an increase in civilian scrutiny of its operations. The United States Navy has been criticized for its handling of an incident that occurred at a Navy pilot convention. Two ranking admirals were disciplined for their roles in allowing the incident to occur and for inadequately investigating the incident, which involved assaults and sexual harassment.<sup>35</sup> The Navy has historically been an untouchable institution and was never subjected to such public scrutiny until a few years ago.<sup>36</sup> Now many citizens are successfully criticizing Navy procedures and investigative techniques. Citizens are increasingly interested and involved in oversight of important governmental institutions, such as law enforcement and the military.

### Government Credibility

The credibility of public institutions and representatives is being questioned more frequently. The United States involvement in the Vietnam War is a prime example of the move toward questioning government. The United States government lied about the number of enemy soldiers in Vietnam to support political and military decisions.<sup>37</sup> Once uncovered, the revelations began to erode government credibility. Additional acts of government misconduct, such as the Watergate Scandal, have continued the erosion. Because of these incidents of governmental lying, citizens are no longer willing to blindly accept government explanations. Police misconduct has added to this trend and, as a part of government, police officers have suffered from the decline in credibility in other governmental institutions.

### Value and Demographic Changes

Shay describes a dramatic transformation in our value system. Historically, people needed to focus on economic issues to provide food, clothing, and shelter. As industrialization provided plenty of what people needed, these materialistic or outer directed values give way to inner directed values, values of self-fulfillment.<sup>38</sup> People now focus on how things will affect their life. The need for self-fulfillment now dominates decision making processes. Concern for community or the company has been replaced with concern for how something will affect a person individually. These changes are cultural value changes and are not specifically affected by ethnic or gender differences.

Concepts of honesty are changing. As previously discussed, many studies have found that many young students and older citizens do not perceive lying or cheating as wrong. They are willing to lie or cheat if it will

get them something of value. This is an important change in our value system, but it assumes much more importance when it is applied to police officer conduct.

Shay describes a significant continuing and related change in our political system. Single issue policy is becoming more prominent in our system of government and is related to the change to inner directed values. Single issue advocates focus on singular concerns and generally do not consider relatedness to other issues or multiple issues. Single issue politics can prevent positive comprehensive action or decisions from taking place, thus weakening the democratic system of majority rule and usually prevents development of consensus to implement policy change.<sup>39</sup> This could affect law enforcement in many ways, including control of police officer conduct.

Demographics is another area of change in our society. Estrada predicts that by the year 2005 over fifty percent of California's population will be non-white.<sup>40</sup> There will be no majority race or culture in California. Over eighty languages will be spoken.<sup>41</sup> This movement has been fueled by significant increases in Asian and Hispanic demographic growth patterns.<sup>42</sup> Rapid expansion of existing cultures and population shifts have forced society to deal with acceptance of cultural and value changes, as opposed to the traditional assimilation of cultural and value changes by society.

### Literature Review

A literature review was conducted by reviewing periodicals and books. The purpose of the review was to discover historical and philosophical information integral to a through study of ethical police conduct.

### Definition of Ethics

There are many references to morals, ethics, and laws in literature concerning police behavior. A phrase that is often used to evaluate behavior in our culture is, "moral, legal, and ethical." Many times these terms are used interchangeably; however, they are not interchangeable. Each word, moral, ethical, and legal, describes a different level of behavioral decision making.

Generally, morals are defined as principles or values that a person or group uses to judge right from wrong and help discern good from evil.<sup>43</sup> Who decides what principles or values are best has been debated for years. The important consideration is that judgment of good and bad, what is worthwhile and important, is made by people based on moral principles.

Ethics represents another level in the study of moral behavior. Ethos is the Greek root of the word ethics. It means the character and sentiments of the community. Ethics is the systematic study and formalized organization of a person's or group's moral beliefs. Hence, a set of moral principles may be codified as an ethical standard of conduct.<sup>44</sup>

Written laws are more specific than moral principles or ethical standards. Based on moral principles and ethical standards, laws are designed to (although many times not successfully) to be definitive in proscribing specific behavior. It is important to note that just because written law covering a behavior does not exist doesn't mean that the act is automatically ethical. Requirements for ethical conduct may exist without the specificity of legal mandate. Morals are broad principles, ethics are standards of conduct, and laws are specific mandates of behavior.

## Social Contract Theory

In Power and Restraint, Cohen and Feldberg discuss the theory of Social Contract as the foundation of moral authority for police officers to operate in society.<sup>45</sup> Social Contract Theory was articulated by English philosophers Hobbes and Locke. They proposed that government and its authority are derived from a bargain between rulers and citizens. In this bargain, citizens grant authority to government to provide safety and security. The citizens receive something of value, security and safety, that they might not be able to provide alone, while government is granted the authority to govern and to limit or control citizen behavior for the common good. When a government fails to provide safety and security the bargain has been broken. The citizens then have a right to replace the existing government with another that will meet those obligations. Alexander Hamilton, James Madison, and John Jay used Social Contract Theory in the Federalist Papers to argue for ratification of the Constitution as a replacement for the Articles of Confederation.<sup>46</sup>

Locke believed that preservation of life, liberty and property was government's responsibility in the social contract and that if this did not occur citizens should change the government.<sup>47</sup> As our government evolved, police were created and designated as the enforcers of the laws of government. Police officers are entrusted with special powers that no other citizens have. They may use force, deprive citizens of liberty, and seize property. Any misuse of these powers violates the agreement between government and the people.



## Moral Reasoning and Development

Considering the responsibility of police officers in the social contract and the notion of proper police conduct as adherence to formalized ethical standards, the question arises, how can citizens ensure that officers entrusted with police powers will act ethically and fulfill the social contract? If ethical standards are derived from moral principles, who decides what is moral, and therefore, ethical?

Consideration of the differing theories of moral development is essential to understanding the complexity of the ethics issue. The two major moral education theories are the empiricist, or social learning theory, and the rationalist, or cognitive development theory. These theories constitute the nurture versus nature argument that has been widely debated. Do human beings have an innate sense of morality that will inevitably emerge or do humans require education or indoctrination to understand what morality is? This question is important when examining ethical police conduct. Most police officers act ethically, but some do not. For those that do not, a method must be found to ensure that they act ethically.

The discourse and disagreement on this issue is ancient and voluminous. It engages the great philosophers of western civilization. The ancient Greek philosopher, Socrates, believed that morality was "the knowledge of the good."<sup>48</sup> He called this knowledge virtue and described a number of character traits that constituted virtue. He believed that man had to discover and recognize in himself what was right and good. According to Socrates, self-discovery was universal. All human beings must do it themselves.

Aristotle, one of the most influential western philosophers, considered morality to promote the human good, or happiness. He defined

happiness, his view of Socratic virtue, as a complex set of existing excellences that were exercised by human choice and responsibility.<sup>49</sup> Aristotle extolled the need to morally educate the body and the passions by force of habit, or practice. Once this was accomplished, human reason and understanding would be possible. He stressed that common or shared values were needed for common education.<sup>50</sup> His view of happiness stressed the importance of community, not individual orientation.

Following Socratic theory, the eighteenth century German philosopher, Immanuel Kant, believed that morality was a universal body of absolute and binding laws that all rational beings were obligated to follow.<sup>51</sup> This was based on reason, not experience or practice as believed by Aristotle. Kant espoused the concepts of free will and choice and that man would individually and naturally grasp his role in society through reasoning.

This theory on the moral nature of man was carried into the twentieth century. Although highly controversial, Lawrence Kohlberg, drawing from earlier work by John Dewey and Jean Piaget, developed a six stage theory of moral reasoning development. He theorized that each of his six different stages of moral reasoning could be sequentially reached through student consideration of moral dilemmas and instructor use of the Socratic method of questioning.<sup>52</sup> Kohlberg espoused man as innately moral, a morality that is universal.

Supporting social learning theory, Englishman John Locke, whose ideas influenced our form of government, wrote during the seventeenth century that man is a product of education alone. Therefore, man will learn to be part of society through education and not by singular rational thought.<sup>53</sup>

Contradicting Kohlberg's twentieth century theory, Psychologist B. F. Skinner's learning theories are based on the scientific approach to learning.

Skinner believes that people's ideas are formed solely by the environment acting on them.<sup>54</sup> Environmental effect supports the notion that people do not have innate ideas of morality when born. People must be taught concepts of morality.

A review of the literature exposes ancient and still controversial debate on how human morality is created and defined. Optimism for the future can be drawn from each side of the controversy, for within both philosophical viewpoints exists a belief that people can be helped to understand moral issues. Whether the educational process must help nature take its course by assisting the student in developing and recognizing moral and ethical behavior, or must indoctrinate people on what is already established as moral and ethical behavior, police officers can be educated to understand moral principles and therefore, ethical standards.

Clearly, contemporary police conduct is under intense scrutiny. Based on a scan of current literature and a review of historical literature, the concern that many police officers are not acting ethically is valid. Police officer credibility is decreasing so citizens are increasing involvement in governmental processes to ensure that government is acting in the best interest of citizens. Police forces have historically been trusted, homogeneous organizations operating under a supposed common set of ethical standards. This situation has changed and will continue to change. How will law enforcement agencies ensure that officers in a diverse workforce will understand ethical behavior requirements and act in accord with these requirements? This concern leads back to the original question: "What methods will law enforcement agencies use to ensure understanding of and continued adherence to ethical standards in the year 2002?"

### Impact network

An impact network is a technique designed to identify effects caused by a situation or event. The technique is completed by placing an issue at the center of the network. Secondary and tertiary effects caused by the issue are graphically noted in successive rings around the center. An impact network was created to identify impacts that would be caused by unethical police conduct (Figure 1).

The impact network identified four secondary impacts caused by the study issue. The issues were:

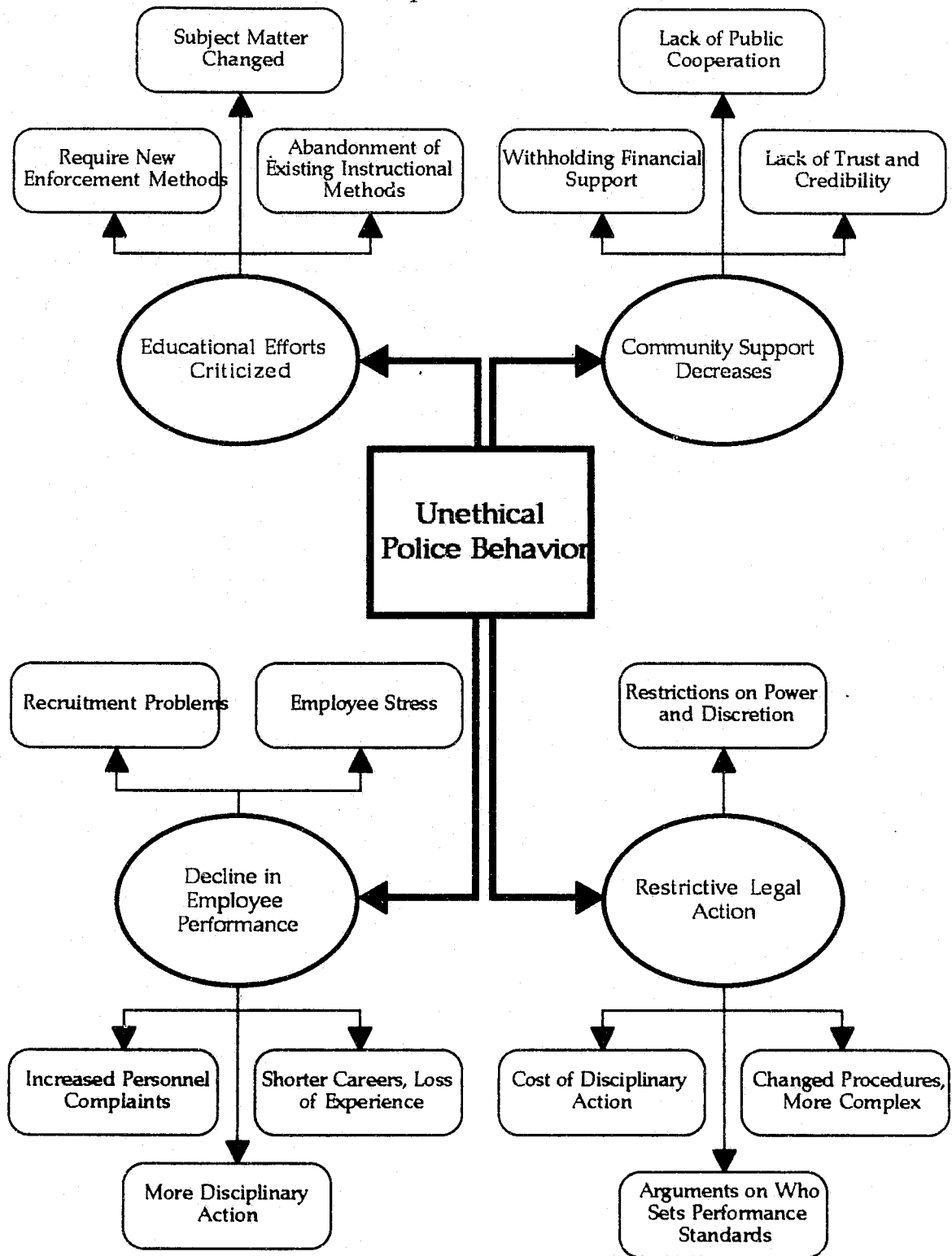
1. Community support for police decreases
2. Restrictive legal action is taken
3. Police education efforts criticized
4. Quality of employee performance declines

A number of tertiary impacts were also developed. All of these impacts were considered, along with information from the environmental scan and literature review. Three study sub-issues were developed from analysis of this information. They were:

1. How will agency ethical standards be developed?
2. How will agencies educate employees and reinforce understanding and adherence to ethical standards?
3. How will evolving workforce diversity affect standards development and the educational process?

After the study issue and sub-issues were established a nominal group technique was used to forecast future trends and events related to the study issue and sub-issues.

FIGURE 1  
Impact Network



## Forecasting

### Nominal Group Technique

The nominal group technique is a small group process designed to allow people to achieve agreement on the answer to a single, usually complex, question by using alternating private work and open discussion. Through rounds of discussion and anonymous voting ideas are generated and prioritized. An NGT panel was created for this study issue. A description of each panel member and the process followed may be found in Appendix A.

The panel members were asked to identify trends and events that would have an impact on the study issue. They were then asked to select the five trends and five events that would most influence the study issue and to establish the future level of each trend and the probability of occurrence of each event.

The group identified twenty-six applicable trends. A list of candidate trends may be found in Appendix B. The five trends selected for forecasting were:

1. Frequency of CEOs held accountable for officer misconduct
2. Level of public involvement in police misconduct review
3. Public confidence in law enforcement performance
4. Influence of diverse cultural and ethical values in police officer applicant pool
5. Influence of police unions in setting ethical standards and disciplinary process

The panel identified twenty-two applicable events. A list of candidate events may be found in Appendix C. The five events selected for forecasting were:

1. State legislation mandates law enforcement licensing and accreditation
2. State legislation mandates civilian review boards for police misconduct
3. Undercover reporter writes expose on police misconduct
4. POST is eliminated by the state legislature
5. Police union challenges agency ethical standards in court

The panel members were asked to review the selected trends and events for applicability to the study issue. All members agreed that each trend and event was applicable and worth forecasting.

#### Trends

After the top five trends were selected, the panel forecasted the magnitude or intensity of the trends measured against time, using the focal points of five years ago (T-5), today (T), five years from now (T+5), and ten years from now (T+10). Nominal forecasts, or how the panel member felt the future will be (based on historical facts), and normative forecasts, or how the panel member felt the future should be (based on value judgments or assumptions), were made for each trend. An evaluation and chart for each forecasted trend is presented below (figures 2 through 6). A comparison of trend levels may be found in Table 1.

#### Trend 1- Frequency of CEOs held accountable for officer misconduct.

The panel members believed that revelations of police misconduct had frustrated citizens to the point that citizens were no longer willing to accept such behavior. Hence, they believed that the will-be trend level to hold people at the top of an agency accountable for agency employee misconduct had increased by one-third in the last five years and will steadily

increase another fifty percent at T+10. This increase will reflect a rising public awareness that policy and standards for employees to follow must be established by those people with the authority and responsibility to do so; that people in charge of an agency can be held responsible for the actions of employees under their control; and that those in command cannot avoid the obligation to guarantee a police agency fulfills its responsibility to the public. This rise indicates that the public will be more active in evaluating police agency conduct.

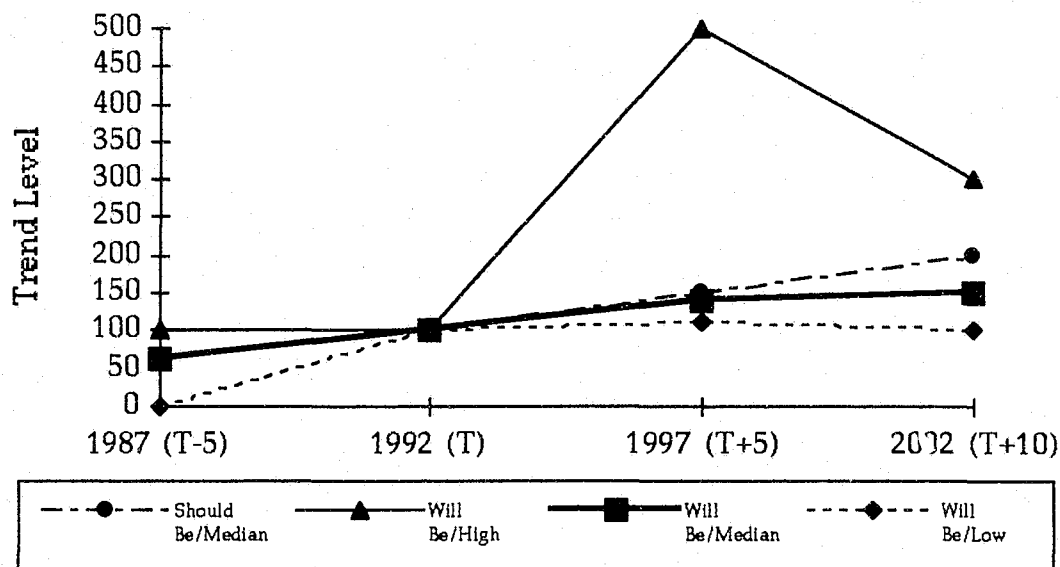
The panel members felt that the level of this trend, while paralleling the steady fifty percent rise of the will-be forecast, should rise with more intensity to double in ten years time. This difference in the will-be and should-be forecasts indicates that the panel feels that this trend is very important. There was strong feeling on the panel that CEOs should bear ultimate responsibility for agency employee behavior. Members believed that a CEO that understood that s/he was responsible for all employee behavior would pay specific attention to setting policy and standards and to ensuring that all employees complied with legal requirements such as Constitutional, labor, and civil rights requirements. This would send a message to all employees that accountability starts at the top of the organization and that all employees would, in turn, be held accountable for their behavior.

One panel member expressed stronger feelings about the increase of this trend level, but for the same reasons as the rest of the panel. However, the range of forecasts were consistent among the rest of the members.



FIGURE 2

## Trend — Frequency of CEOs Held Accountable For Officer Conduct

Trend 2- Level of public involvement in police misconduct review.

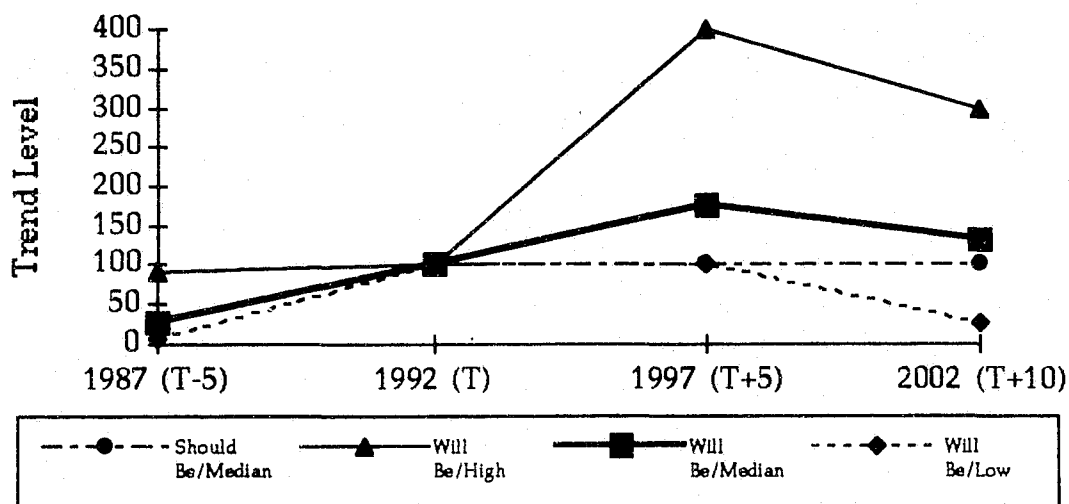
The panel members forecast that this will-be trend level would increase significantly in the next five years and then decline to a level that will be thirty percent above today's level. This reflected panel belief that the public is currently very frustrated with police agency performance and that the frustration will continue to increase. The panel felt this frustration was born of a lack of knowledge of what the police do, how they do it, and why they do it. The public is exposed to many tales of police misconduct which creates an impression that the police are consistently acting unethically. The public has reacted emotionally to this impression. It is an issue of great public importance due to our national reluctance to grant government authority to control people. The decline in trend level between five and ten years in the future reflects a belief that some of the controversy surrounding this trend is

emotional, rather than substantive. As the public learns more about the police their anxiety will decline and public scrutiny will not be as great ten years in the future.

The panel's should-be forecast reflected a belief that the amount of police misconduct review by the public was at an optimum level and that this level should continue ten years into the future. Public education about police practices and policies and public involvement in developing these were suggested as ways to rectify the significant difference between the will-be and should-be forecasts.

FIGURE 3

Trend — Level of Public Involvement in Public Misconduct Review



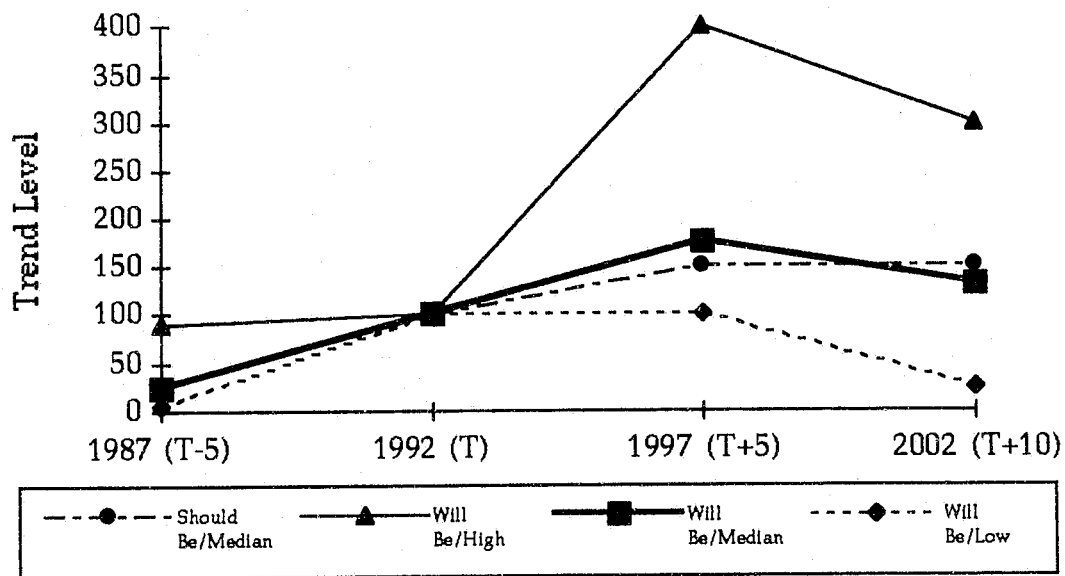
Trend 3- Public confidence in law enforcement performance.

The panel members forecast this will-be trend level as declining by twenty-five percent at T+5 years and then quickly rising to a level twenty-five percent higher than today at T+10 years. The panel believed that this trend will decline to T+5 years because of negative public attitudes toward police performance. These attitudes will be created by reported acts of police misconduct. The increased trend level to T+10 will reflect responses by police administrators to the trend decline. The implications of this trend level are significant as the panel felt that public support is absolutely necessary for police officers to operate effectively. Therefore, the initial trend decline demands policy intervention, that should create the trend increase to T+10.

The panel's should-be forecast called for a fifty percent rise in the trend level at T+5. This rise should level off and remain constant to T+10. As noted in the will-be forecast, the rise is needed for the police to gain cooperation and support from the public. The contradiction between the will-be and should-be forecasts creates a critical need for policy action. The panel felt that administrative action would decrease police misconduct; hence, restore public confidence in the police to the level existing five years ago.

FIGURE 4

Trend — Public Confidence in Law Enforcement  
Performance



Trend 4- Influence of diverse cultural and ethical values in police officer applicant pool.

The panel members forecast that this will-be trend level will remain constant to T+5 and then rise slightly to T+10. They believed that the recent increase in workforce diversity in the applicant pool had brought new ideas on cultural and ethical issues to police departments. This caused confusion and difficulty in ensuring consistent ethical police conduct because supervisors and managers could not effectively deal with employees that thought differently about behavioral and ethical issues. Thus, the trend level from T-5 to today declined slightly. The maintenance and then slight increase reflects expected slow, but positive, administrative response to the trend.

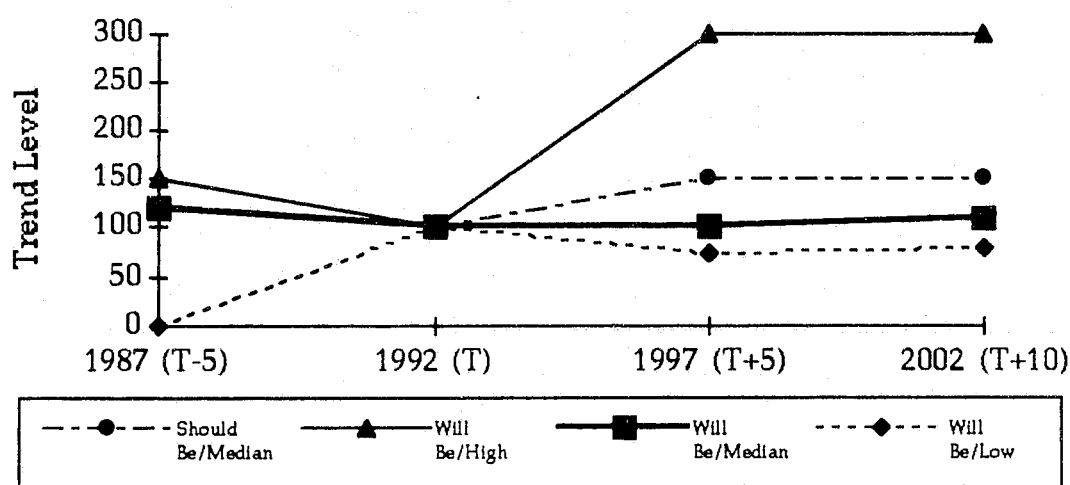
The panel would like the trend level to rise by fifty percent from today to T+5 and level off to T+10. The panel felt that the issue of consistent ethical

standards and conduct could be death with, but only with decisive and timely action. The sharp rise from today to T+5 indicates the urgency felt by the panel. Once the trend level quickly reached the appropriate level, ethical issues could be managed effectively. Failure to reach the appropriate level would exacerbate existing problems.

The panel members expressed varying ideas on the level of law enforcement at T-5. Law enforcement had been moving from a homogeneous workforce to a diverse one. The variances signify the development of confusion; hence, the difficulty in identifying the issues of cultural and ethical diversity in the workforce. However, the panel believed that the issue of cultural and ethical diversity could be identified and managed in the future if valid ethical standards of conduct were developed.

FIGURE 5

Trend — Influence of Diverse Cultural and Ethical Values In Police Officer Applicant Pool

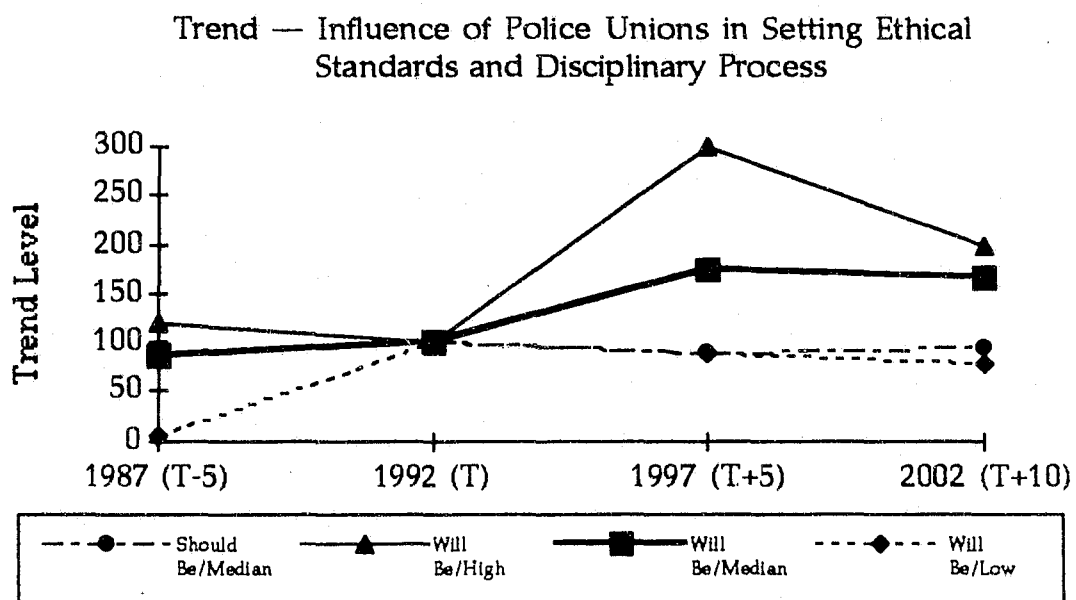


Trend 5- Influence of police unions in setting ethical standards and disciplinary process.

The panel members felt that this trend rose slightly from T-5 to today. The panel forecast a striking seventy-five percent increase in trend level from today to T+5 and then a slight decline to T+10. They felt that increased public scrutiny of police conduct would cause increased activity by police unions. Public or administrative response to unethical police conduct will spur union advocacy in the name of employee welfare. Political action by unions to influence legislation may force acceptance of union demands or requests for increased input on definition of ethical standards and disciplinary action.

The panel believed that the trend level should decline slightly between today and T+5 and then increase slightly to T+10. However, this slight increase would not raise the trend level to today's level. This indicates that, as with emotional public response to police misconduct, self-serving advocacy will only confuse and complicate issues of ethical police conduct.

FIGURE 6



The trend forecast results of the nominal group panel, depicted in figures 2 through 6, are displayed on the following Trend Evaluation Table.

TABLE 1  
TREND EVALUATION TABLE

Trend Statement	Trend Level					
	five years ago	today	five years from now		ten years from now	
			will be	should be	will be	should be
1. CEOs continually held accountable for officer misconduct.	64	100	138	150	150	200
2. Public involved in police misconduct review.	25	100	175	100	130	100
3. Public confidence in law enforcement performance.	125	100	75	150	125	150
4. Cultural and ethical values of police officer applicant pool.	120	100	100	150	110	150
5. Influence of police unions is setting ethical standards and discipline process.	88	100	175	90	165	95

All figures are panel median forecasts; N=6.

## Events

Probability of occurrence was forecasted for the top five selected events. The panel members used the categories of years until probability of occurrence exceeding zero, probability of occurrence in five years and ten years from now, and positive and negative impacts if the event occurred. An evaluation of each event is discussed below, including comments on cumulative probability, range of forecasts, and impact on the study issue (Figures 7-11). A comparison of event probability of occurrence may be found in Table 2.

### Event 1- State legislation mandates law enforcement licensing and accreditation.

The panel members forecast that this event could happen within 2 years from the date of forecast. The members felt that a sufficiently strong political motivation did not exist at forecasting time; however, continued and increased public dissatisfaction with police misconduct could drive this event to occurrence in 2 years.

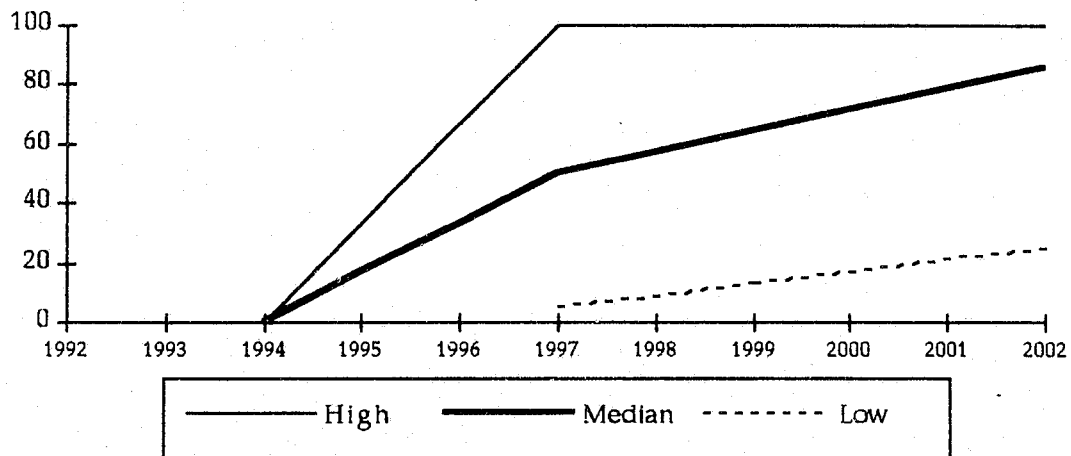
The panel believed that there was an even chance that this event would occur within five years and that the probability increased to eighty-five percent within ten years. The panel felt that public concern about police misconduct would be the force behind this event; but, it also felt that there would be strong resistance from local governments, police agencies, and police unions. This resistance would be caused by the fear of loss of local control over police hiring, training, and policy decisions. The panel believed that this event would have a positive impact on the study issue because it



would promote consistency and ethical decisions in hiring, training, and employee behavior by removing local political or special interest influence from the process. Resistance would be strong; hence, the long time frames and high probability of occurrence.

FIGURE 7

Event — State Legislation Mandates Law Enforcement  
Licensing and Accreditation

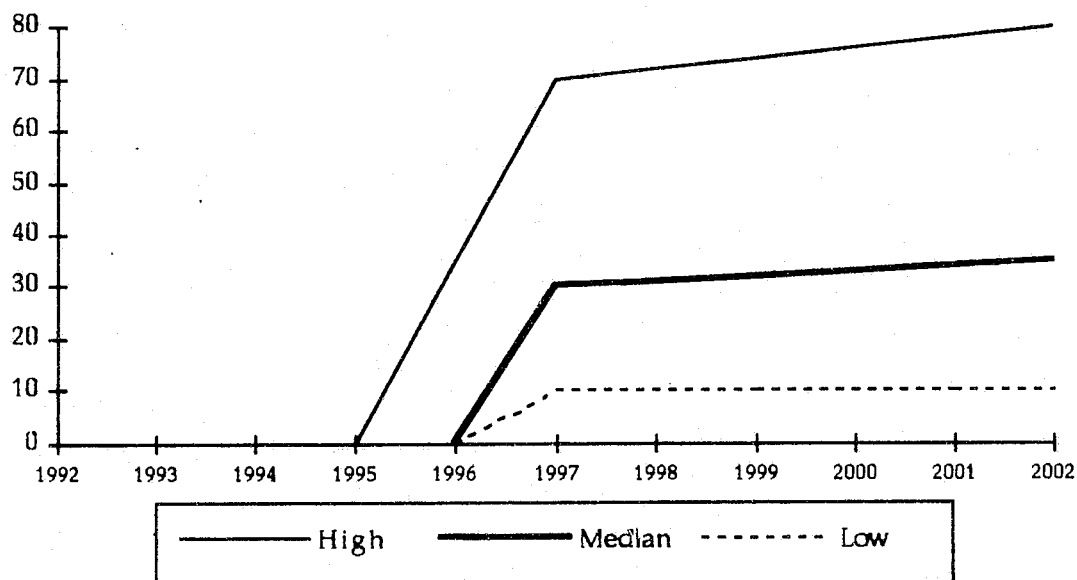


Event 2- State legislation mandates civilian review board for police misconduct.

The panel members forecast that this event had a low median probability, thirty to thirty-five percent in five to ten years. Combined with a forecasted high negative impact, the panel saw this event as a threat, or a worst case forecast, if public dissatisfaction continued to grow. The panel felt that the threat would be state control of the review process, removing local control of police misconduct cases. This would reduce the ability of local police forces to be responsive to local concerns. Considering the wide demographic and ethnic differences in communities across the state, one policy toward all police misconduct cases might create additional frustration in local communities. A review board may be staffed by politically motivated or special interest members. Preconceived ideas might cause controversial decisions that could reduce public confidence in police officers.

FIGURE 8

Event — State Legislation Mandates Civilian Review Board for Police Misconduct

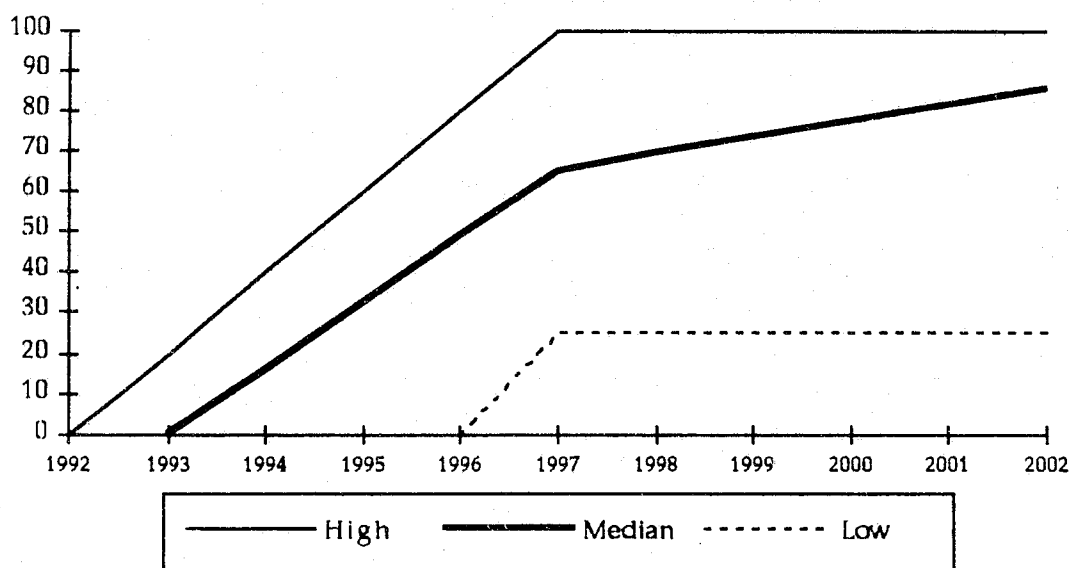


Event 3- Undercover reporter writes expose on police department misconduct.

The panel members forecast that there was a high probability that this event would occur within five years and that the probability significantly increased to eighty-five percent at ten years. The panel believed that the communications media is a powerful force in our society. What is printed or broadcast strongly influences public opinion. The press sees itself as an important watchdog over governmental actions, so they are very active in investigating police practices. There were wide panel opinions on the degree of influence the media had on the study issue, but the median shows that most of the panel felt the influence was substantial. The panel felt that this event would have a negative impact on the study issue because of the negative public impression it would create, thus, hurting police credibility.

FIGURE 9

Event — Undercover Reporter Writes Expose on Police Department Misconduct

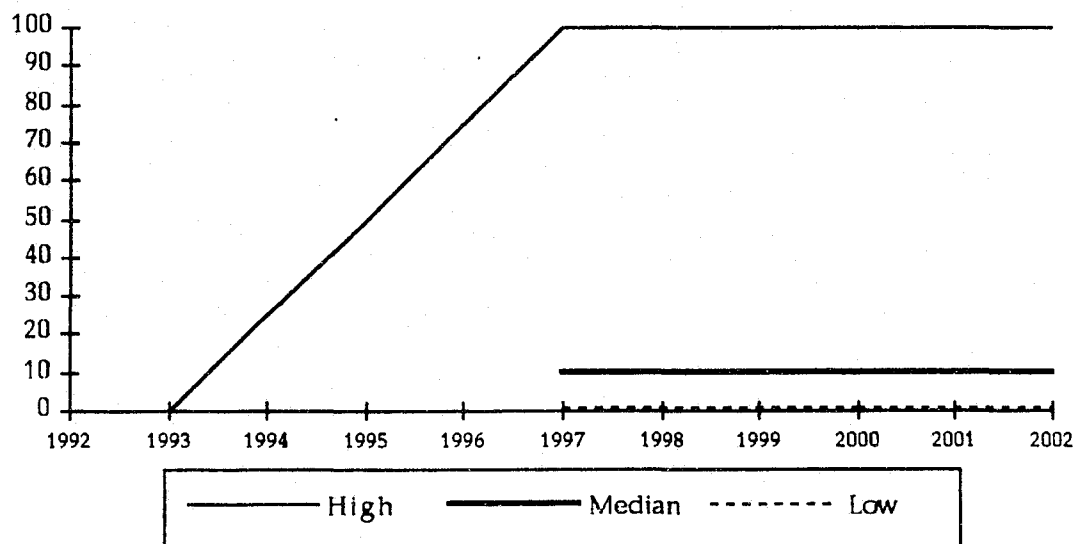


Event 4- POST is eliminated by the state legislature.

The panel forecast of this event was unique because the panel had identified this event as an important one to the study issue, yet they forecast the event as having a probability of occurring of only ten percent over five to ten years. Discussion of this situation showed that the panel believed that the value of POST to the study issue was significant. They saw POST as an integral part of the development of police standards and provision of training to police officers. The loss of POST guidance and resources was seen as a large threat based on the 9.5 negative impact rating the panel gave this event. This indicates that the panel felt that this type of state influence was needed and beneficial to the study issue. This event looms as a threat due to fear that a movement to eliminate POST would be retaliatory and fueled by widespread public dissatisfaction and/or distrust of the police. One member of the panel felt that political and economic situations would deteriorate to the point that this event would definitely occur within five years.

FIGURE 10

Event — P.O.S.T. is Eliminated by the State Legislature

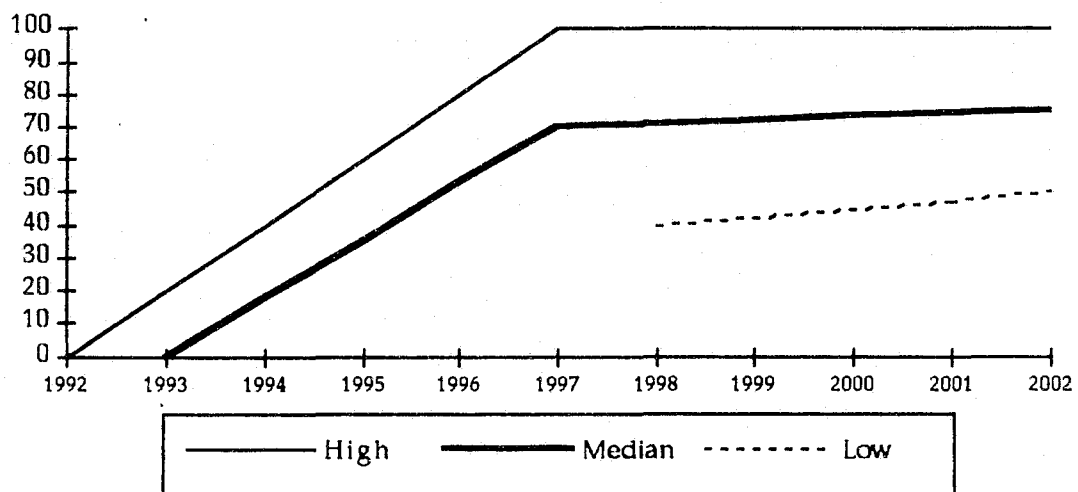


Event 5- Police union challenges agency ethical standards in court.

The panel members forecast that this event will probably occur within five years and that the probability would slightly increase at ten years. The panel felt that this could happen one year from now. Members believed that increased interest in police misconduct would generate more emotional public scrutiny of police conduct and more administrative activity to hold officers accountable for their actions. Police unions would legally challenge disciplinary action and policy changes to protect union members from what they would view as inconsistent and unwarranted disciplinary actions. This situation highlights the need for sound internal police policy to educate and reinforce clear and consistent standards of conduct. The panel felt that legal challenges would have a highly negative impact on the study issue due to court challenges tying up procedure in the legal system for years.

FIGURE 11

Event — Police Union Challenges Agency Ethical Standards in Court



The events forecasted by the nominal group panel, depicted in figures 7 through 11, are displayed on the following Event Evaluation Table.

TABLE 2  
EVENT EVALUATION TABLE

Event Statement	years until probability first exceeds zero	Trend Level			
		probability		impact on the issue if the event occurred	
		five years from now (0-100)	ten years from now (0-100)	positive (0-10)	negative (0-10)
1. State legislation mandates law enforcement licensing and accreditation.	2.00	50	85	9	2
2. State legislation mandates civilian review board for police misconduct.	4.00	30	35	2.50	6.5
3. Undercover reporter writes expose on police department misconduct.	1.00	65	85	2.50	6.50
4. POST is eliminated by the state legislature.	---	10	10	0	9.50
5. Police union challenges agency ethical standards in court.	1	70	75	0.5	7

All figures are panel median forecasts; N=6.

### Cross Impact Analysis

Cross Impact Analysis is a method used to forecast the amount of impact that selected events, if they occur, will have on other selected events and trends. Each event is compared to the other events and trends and the amount of positive or negative impact is forecasted. The years to maximum impact is also forecasted. Cross Impact Analysis was used to formulate a hypothetical futures scenario based on the interrelatedness of the events to other events and to trends.

Three experienced police managers, all NGT panel members, were assembled to complete the Cross Impact Analysis of the selected trends and events. The managers used consensus to determine each impact. The following discussions of each event are based on the matrix and discussion by the panel members. Results of the Cross Impact Analysis may be found in Table 3.

Event number one, licensing and accreditation, seemed to be the most important event. If this event occurred, the panel felt that the need for civilian review boards and press exposes would be reduced. Public credibility in law enforcement would increase due to a positive affect this event would have on police conduct. More CEOs would be held accountable for agency conduct and diversity of the applicant pool would decrease in importance due to stronger regulations designed to accommodate a diverse workforce.

Event number two, civilian review boards, would increase the probability of licensing and accreditation, CEO's being held accountable, and citizen involvement. It might have a negative influence on law

enforcement's credibility with the public by increasing knowledge of alleged misconduct and would increase the possibility of union court challenges.

Event number three, press expose, would intensify the move to licensing, CEO accountability, and civilian review boards. It would also increase union challenges. Public confidence in law enforcement would decline due to revelations of misconduct.

Event number four, elimination of POST, would have a minor impact on all the events and trends, except for licensing. Licensing was singled out due to a belief that POST would be the logical state agency to administer licensing. Without POST, licensing would fizzle. However, the possibility of the event occurring was so small that the panel did not assign much significance to it.

Event number five, union challenges, would increase the probability of licensing, civilian review boards, a press expose, public involvement, and CEO accountability. The panel felt that legal challenges would increase awareness of alleged police misconduct; thus, increasing event probabilities and trend levels. Importantly, union challenges would also decrease the levels of public confidence and the evolution to diverse workforces by maintaining the status quo.

Licensing and accreditation was the most influential event in the forecast. Public confidence received setbacks from all of the events except licensing. Union influence on the study issue decreased when compared to the other events. Cultural and ethical values of applicants were not considered important compared to the other trends and events. There was a panel feeling that successful policy treatment of the study issue would address increased workforce diversity.



TABLE 3  
CROSS-IMPACT MATRIX

Impacting Event	Impacted Events					Impacted Trends				
	E1	E2	E3	E4	E5	T1	T2	T3	T4	T5
E1		-50	-10	-50	+10	+20	-10	+20	+10	-15
	3	2	2	3	3	4	4	5	2	
E2	+25		+15	0	+20	+30	+50	-10	0	-15
	4		2	2	2	3	2	4	0	3
E3	+20	+25		0	+10	+20	+20	-20	0	-20
	2	2		0	2	2	2	1	0	2
E4	-40	+10	+10		+10	-10	+10	-10	-20	+5
	2	4	3		2	3	4	4	2	3
E5	+5	+20	+20	0		+10	+15	-30	-10	-5
	2	2	2	0		3	3	2	2	3
n=3	maximum impact (percentage change, + or-) years to maximum impact									

- E1. State legislature mandates law enforcement licensing and accreditation.
- E2. State Legislation mandates civilian review board for police misconduct.
- E3. Undercover reporter writes expose on police department misconduct.
- E4. POST is eliminated by the state legislature.
- E5. Police union challenges agency ethical standards in court.

- T1. CEOs continually held accountable for officer misconduct.
- T2. Public involved in police misconduct review.
- T3. Public confidence in law enforcement performance.
- T4. Cultural and ethical values of police officer pool.
- T5. Influence of police unions is setting ethical standards and discipline process.

### Alternative Scenarios

Scenarios are created in futures study to provide a picture of the future. Based on forecasted data in this study, three scenarios, each based on a different type of forecast, were created. One of the three scenarios was selected so that specific policy could be developed to avoid or encourage the selected future. Then, in the next section of this study, a strategic plan was created to implement the policy decisions.

The three alternative scenarios created were:

1. An exploratory (will be) scenario based on panel forecasts of how the future will unfold if nothing new occurs
2. A normative (should be) scenario based on panel forecasts of how the future should unfold
3. A hypothetical (what if) scenario based on the results of the Cross Impact Analysis

Each scenario was developed using a news article or chapter of a book to describe the scenario. All are set in the City of Midville, California.

**Exploratory (will be) Scenario** A chapter from A History of Midville, by John Smith.

#### "Midville P.D.-2002"

The Midville Police Department has struggled during the last ten years. There never seems to be a quiet moment for the new Police Chief or his officers since the previous Chief was fired. Three years ago, two white officers were found guilty in Superior Court of using excessive force while arresting an Hispanic youth who was accused of harassing a downtown store owner.

The Hispanic Community expressed outrage that the youths were arrested at all, let alone "roughed up" by the two white officers. Hispanics believed that the incident was a misunderstanding of cultural practices and that officers couldn't understand the youth's explanation of the incident due to a language barrier. Minority representatives called for more minority employees on the police force as the Midville force has few minority officers.

Shortly after the criminal verdict in Superior court, a Federal Court civil trial began regarding the incident. A civil judgement was returned against the Midville Police Department, the Chief of Police, and the officers involved. The Court found that Midville P.D. did not have written standards of conduct, inadequately trained its officers, and had an inconsistent disciplinary process. The Chief of Police had punitive damages imposed against him for failure to provide officers with proper guidelines on handling such situations. He was held responsible and fired shortly after this by the City Council.

Citizens of Midville expressed surprise at the verdicts. After years of public confidence in Midville's performance, including a high point five years ago, many citizens began to question how well police officers were performing and whether police administrators were providing proper leadership for the department. A decline in public confidence paralleled the court cases. The sexual harassment complaint did not help matters.

Immediately after the verdicts, the only two female officers on the police force complained to a local newspaper reporter that they had been victims of sexual discrimination and harassment and that the Department had done nothing about it. They charged that they had been denied positions in a special unit because they were not aggressive enough, despite having exemplary records, and that they had been subjected to crude sexual

comments during patrol briefings. The Chief of Police filed disciplinary charges against two male officers for making inappropriate comments but a union representative negotiated a reduction of the charges with the City Council and then filed a law suit challenging the remaining charges. The case is still in litigation and the officers are still on active duty.

These misconduct issues attracted the attention of the State Peace Officer Accreditation Board. Midville was threatened with decertification if it did not correct its behavior. Many citizen groups were formed to evaluate police conduct and advise the City Council on policy. The goals and ideas of these groups differed. The Council found it hard to satisfy any one group. Citizens began to suggest that the State create a citizen review board to oversee Midville P.D.

**Normative (should be) Scenario** An article from the Midville Inquirer, May 22, 2002.

**"Community Groups Honor Midville P.D."**

The Midville Chamber of Commerce and the Midville Diversity Coalition honored the Midville Police Department and Chief of Police Jean Marie Gunn for exemplary community service during the last two years.

Responding to the recent State Law Enforcement Accreditation Evaluation Report, the groups felt that the department and the community has benefitted from the Chief of Police's leadership. After the prior Chief was fired for poor performance and a newspaper expose on police misconduct created strong public concern, the new Chief joined the Department and stated that she was responsible for the behavior of the Department. The Department began to review and change policy and began an active recruitment drive that brought more ethnic minority and female officers into

the organization. The Chamber and the Coalition expressed an increased degree of confidence in the police department. The Department reported that citizen complaints about police conduct had declined by seventy percent over the last five years and citizen compliments for police employees had risen by one-hundred percent. The report attributed the major turnaround to citizens being involved in formulation and approval of important police policy and meeting the licensing and accreditation requirements mandated by the State two years ago.

The new Chief has managed to develop a positive working relationship with the politically influential police union. There are still many areas of contention between the Chief and the union which are tied up in court.

The presidents of both community groups expressed optimism that the trend in positive community relations and reputation would continue and that the community interest in police practices had leveled off to a point that periodic community meetings would be enough to continue the trend.

**Hypothetical (what if) Scenario** An article from Newsweek, May 22, 2002.

**"Dissatisfied Citizens Consider Change in Police Services"**

The City of Midville, California is considering disbanding its police department and contracting with the local County Sheriff's Department. Relations between city residents and the police have been acrimonious for over three years. The problems started when a local newspaper writer published an article exposing many incidents of police misconduct. The

reporter was spurred to investigate the department by a police union court challenge of a disciplinary action taken by the city manager.

The State Law Enforcement Accreditation Board investigated Midville P.D. and threatened to decertify the Department if it did not improve policy and control of behavior.

Angry public sentiment developed due to the reported misconduct and police attitudes toward the eventual disciplinary action, and the State report. The misconduct included excessive use of force, theft, and sexual harassment. Many citizens became so dissatisfied that they pressured the Midville City Council to create a Citizen Review Board to oversee police misconduct. Public scrutiny of the police department's performance reached a zenith when the new Citizen Review Board called for the dismissal of the veteran Chief of Police for allowing the misconduct to occur.

Differences among the many public factions criticizing the police department have rendered the department ineffective as the City Council cannot develop a political consensus on what should be done. Low officer morale has caused high turnover. The Department has been served with many claims and lawsuits from unhappy citizens. All of this has caused the City Council to consider closing the doors on the police department and contracting with the Sheriff's Department for police services. Confidence in police services is at an all-time low and the citizens of Midville are not happy about it.

#### Selected Future Scenario

The exploratory (will be) future scenario was selected for policy consideration and eventual development of a strategic plan. This scenario was selected because it offered the greatest opportunity to evaluate the

negative results that could develop for if we do not act now to influence the future. Four criteria were developed to create suggested policies. The criteria were:

1. Political acceptance and support
2. Financial feasibility
3. Adequate available employee time to implement policy
4. Ability to close the gap between the exploratory (will be) and the normative (should be) forecasts

Applying these criteria to suggestions made by the Nominal Group Panel and the Cross Impact Analysis Panel, the following general policy statements were selected:

1. Involve citizens in developing ethical standards and operational policy
2. Apply ethical standards and policies in all operations of the department
3. Provide continual employee training and opportunities for ethical development
4. Consistent reinforcement of ethical standards in agency policy
5. Aggressive employee recruitment plans to increase diversity and reflect community demographics

These general policy statements were compared to the selected and forecasted trends using a cross impact matrix. These policies significantly increased the level of trends one, three, and four. The levels of trends two and five were reduced. Therefore, the exploratory futures scenario and the suggested policy considerations were applied in the next section to develop a strategic plan to positively influence the future.

## STRATEGIC PLAN

### Methodology

A strategic plan was developed to influence the selected future scenario. The plan was designed to prevent the forecasted future from occurring in ten years and was created for the fictional police department of Midville, California. The plan developed for Midville is a synthesis of many problems facing police departments today and may be applied to any police agency.

Five methodologies were used to develop the strategic plan. The methodologies used, in order of use, were:

1. A fictional police department was created to use as an example or development of the plan. A macro-mission statement was written for the fictional department
2. A situational analysis of the fictional department's environment was started using the WOTS-UP technique
3. The situational analysis was completed using the SAST technique to establish the people most important to completion of the plan
4. Alternative strategic plans were developed using a modified Delphi technique. A preferred strategy was selected to prevent the selected future from occurring and a micro-mission statement was written to implement the strategy
5. An implementation plan was created for the preferred strategy to provide structure for the plan



### Organizational Description

The Midville Police Department serves a city population of 90,000. Midville is mainly composed of middle and lower-middle class residential neighborhoods, but also has one economically depressed older neighborhood in which many residents live under the poverty line. It has a small light industrial district and a large downtown commercial district. Twenty percent of city land is used for agricultural purposes. During the last decade Midville's population has changed drastically. Minority populations have increased from five percent to twenty-five percent of the total population. During the last five years Midville has experienced economic decline. Revenues have decreased and capital improvement needs have increased. Some city services have been reduced to save money. Increased political friction between community groups and the City Council has surfaced as the groups try to garner city support for special projects and concerns.

The Midville Police Department is a full service agency that historically has enjoyed a solid community reputation and has received broad community support despite a lack of community involvement in the operations of the department. Much of the credibility has been built by strong crime prevention and foot beat programs instituted by the Chief of Police ten years ago. M.P.D. employs one hundred twenty police officers and forty civilians. The average years of service for police officers is twelve. Midville has four ethnic minority officers and two female officers, all of whom were hired within the last five years. Yearly employee turnover has been below three percent per year for the last ten years. Recruitment of officers is efficient and active, but has always focused on local applicants. Sixty-eight percent of the employees live in Midville. Decisions on funding and labor relations

have always been quietly made away from public view by the City Manager, the Chief of Police, and the President of the Midville Police Officers Association. There have been few disciplinary or policy arguments between the Department and the employee union.

The Chief of Police has held his job for fifteen years and is close to retirement; however, he has stated that he does not want to leave until current problems are corrected. He has been allowed to run the Department without interference from the City Council or the City Manager. His three captains have held their rank for fifteen, seven, and five years, respectively. His six lieutenants include three that have over ten years in rank, two that have over five years in rank, and one recently appointed probationer. Midville P.D. has been conscientious in sending its officers to training classes and developing in-house instructors, but does not systematically apply the acquired knowledge in department operations. Midville P. D. has just recently developed a mission statement but does not have an organizational values statement.

Crimes of violence in Midville have risen thirty-three percent in the last five years bringing it into the top third of violent cities in California. Overall crime has risen by ten percent in the last five years. Citizen complaints of officer misconduct have risen forty percent in the last two years. Most of the complaints have involved rudeness, false arrest, and excessive use of force. Midville has also been named as defendant in five civil suits for alleged violations of civil rights laws in the last two years. Midville P. D. had never been sued before.

A mission statement for the Midville Police Department was created considering the selected future scenario and using the general policy statements developed in the last chapter.

### Macro Mission Statement

The mission of the employees of the Midville Police Department is to protect life, property, and the constitutional rights of all citizens; to prevent crime; to apprehend those who violate the law; and to maintain the public peace. We will do this by using ethical, responsible, and competent law enforcement practices. To complete our mission we will:

- ✓ treat all members of the community fairly, protect the constitutional and legal rights of all citizens, and accept responsibility for our actions
- ✓ be responsive to community needs and collaborate with our community to establish and maintain high ethical and operational standards
- ✓ develop and maintain personal and technical competence through constant evaluation and application of current legal, personnel, and technological advancements and comprehensive training
- ✓ place high value on the diversity of citizens and employees and employee innovation, creativity, and initiative, in recognizing that people are our most valuable resource
- ✓ seek to prepare for future needs by constantly evaluating and updating organizational values, standards, and procedures.

### Situational Analysis

A situational analysis of the Midville Police Department was conducted using the WOTS-UP and SAST techniques. WOTS-UP is an acronym for an evaluation of an organization's weaknesses, opportunities, threats, and strengths -- underlying planning. SAST is an acronym for an evaluation of a plans stakeholder assumptions, strategic assumption surfacing technique.

These two techniques were completed using a modified delphi technique. Five experienced law enforcement managers met as the modified delphi panel and discussed the issue using Midville P. D. as an example. Ideas were generated, discussed, and rated by the members. The analysis was completed upon consensus selections by the panel.

First, environmental threats and opportunities for Midville P. D. were identified. Then organizational strengths and weaknesses were identified. A Strategic Assumption Surfacing Technique was used to identify people or groups who would be important to the successful completion of a strategic plan. Identified as stakeholders, these are people or groups that are affected by an issue, can affect the issue, or are concerned about the issue. Also identified are individual stakeholders who are seemingly insignificant to the issue but who can drastically affect action on the issue or policy development. These stakeholders are called snaildarters. After the panel identified stakeholders and snaildarters it developed three assumptions that each of the stakeholders would have about the study issue. Finally, a SAST map was prepared to evaluate the importance of each stakeholder's assumptions to the issue, and the probability of correctness of the assumptions. This graphic depiction of

assumptions helps determine which stakeholders are most important and what assumptions should be addressed for the plan to be successful.

#### Environmental Opportunities

The most important opportunity identified by the panel was the increased community interest in law enforcement operations and increased community awareness of how important law enforcement policy and performance is to the quality of life in a community. In the future, people will intensify attempts to understand police officers and policies by focusing on law enforcement activities. This creates a great opportunity for law enforcement to work with a community to establish a common set of law enforcement ethical standards and to showcase outstanding performance and professional dedication. Increased community awareness was seen as an opportunity to repair police officer credibility and community cooperation.

Another identified opportunity was the increasing diversity of the community and Midville employees. Law enforcement has been locked into specific methods of operation and decision making for decades. As community values change and new employees join an organization old paradigms will be replaced by new concepts of ethical conduct and service delivery.

Equally important is the trend toward holding people accountable for their actions, specifically agency chief executive officers. The idea of sacrificing a lower level employee to satisfy a community's desire for justice in a police misconduct issue will not be acceptable in the future. Holding the CEO accountable for actions of subordinates will encourage responsible, long term supervision and management.

During the last decade organizations have placed greater emphasis on employee development. This will continue into the future. This trend will create a comprehensive training system and an adequate pool of skilled trainers for future use. This represents a significant opportunity to provide transitional training for old employees and relevant training to new employees.

Another trend is the increase in service retirements as many law enforcement officers who were hired during the late 1960s and early 1970s become eligible for retirement. This will create significant turnover which will allow agencies to replace these officers with new employees that are not constrained by ineffective philosophy and methods of operation.

#### Environmental Threats

Futures research and the panel identified a number of threats to the accomplishment of the mission. First, while workforce diversity can be an opportunity, it can also present many obstacles to a strategic plan. New ideas may be resisted by established employees. Attempting to incorporate many value systems can be difficult. Seeking consensus on one value system when there are diverse ideas about values is more difficult. If consensus is not attained, a commonly supported set of ethical standards cannot be produced and used in an agency. Working through the difficulties of diversity is a major challenge and a definite threat; however, the panel felt that this could be accomplished with adequate effort. If a valid set of ethical standards is established all employees, regardless of personal background, may be required to adhere to the standards.

With increased public interest in police officer behavior, special interest advocacy, and increased labor activity, agency disciplinary activities

will become politicized. Narrow special interest group activism, emotional citizen responses to perceived misconduct issues, and union advocacy will combine to significantly complicate operational and disciplinary decisions. A politically motivated policy development and disciplinary system is a major threat to the effectiveness of a police agency. Decisions may be made for the wrong reasons. Ethical standards, education systems, and evaluation efforts may not be created on professionally based, mutually agreed upon standards. These components will be subject to constant lobbying and political attack and will not provide long term stability for an agency.

Labor groups are also an environmental threat. As focus is placed on employee behavior, whether line, supervision, or management employees, employees will feel that their welfare is in increased jeopardy. Labor groups will increase their activities to ensure that employees are treated fairly. While this is beneficial in many ways, advocacy arguments usually assume hard-line positions which force court and arbitration rulings that dictate rules and guidelines that do not provide practical solutions to management-employee problems.

Identified trends indicate that the state will become more involved in local law enforcement misconduct issues. Statutory requirements will take authority from the local governing agency and give it to state controlled agencies. Removal of local control is a large obstacle to accomplishing the mission. Decisions will be made based on statewide concerns, not local concerns. Tailoring an agency to be responsive to the community it serves would be most difficult without local authority and control.

A final threat is the lack of financial resources to provide the employee time to accomplish needed tasks and to pay for training and evaluation systems. Technological assistance will be unaffordable if money is

unavailable. Lack of labor and technological assistance will severely hinder accomplishment.

### Organizational Strengths

The Chief of Police has identified some organizational problems and the need to address changing conditions. His commitment has been identified as a strength. He is unsure of what to do to meet the challenge but realizes that he must do something.

City Council support is also a strength. M. P. D. has been allowed to operate with little outside interference due to its standing in the community. This support will be useful in implementing change.

Another strength is employee commitment to the community. For years, there has been a strong commitment to the community by line workers in M.P.D. They have been empowered to take care of community issues without much interference from management employees, and have shown a willingness to work with most community members to solve problems. However, they are not accustomed to the community questioning their methods and are confused by increasing demands from minority communities for different policing methods. M.P.D. employees have developed an expectation of being able to use self-initiative and feel comfortable working with the established community. This constitutes an important strength.

Due to its commitment to sending people to training, M.P.D. has an established training structure and a complement of competent instructors. Having this resource available to work toward implementing change is a strength. Employees have also developed and maintained a high level of technological competence.



### Organizational Weaknesses

While the Chief's commitment has been identified as a strength, managerial inexperience in transitional management is a weakness. Without open minded and committed staff leadership during transition the implementation of change will be most difficult. Most of the staff is older and steeped in the old ways of police operations.

There has been a significant lack of interaction between the Police Department and the City Council and/or community groups. Hence, there is little understanding between the groups regarding police methods and objectives and community expectations. A result of this lack of understanding has been the significant rise in personnel complaints, civil suits, and violent crime. This is an important weakness.

Midville P.D only recently established a mission statement and doesn't have a values statement to provide direction to employees . As community and department diversity increases some employees may feel threatened by the movement in new directions. Additionally, many employees in Midville P.D. are long-time employees. They are set in their ways and may feel that established standards and methods are adequate and that no change is needed. Discussion and training will be essential to establish, communicate and reinforce new ideas and standards.

Recruitment efforts have not focused on establishing a police force that is reflective of the demographic mix in the Midville community. Therefore, the minority communities may have developed feelings of alienation toward the officers and administration of Midville P.D. An employee demographic makeup that is reflective of community demographics will help address this problem. At the slow pace that personnel development requires, developing a representative employee/community mix will take years.

Reduced economic support will hinder accomplishment of Midville's mission. Adequate amounts of time to train and be trained will be reduced along with manpower to supervise and evaluate employee performance.

### Stakeholder Analysis

The following individuals or groups were identified by the panel as stakeholders in this study issue. Assumptions that each holds follows each identification.

- |                          |   |
|--------------------------|---|
| A. Midville community    | <ol style="list-style-type: none"> <li>1. police officers should be responsive to community needs</li> <li>2. some unethical police behavior is occurring</li> <li>3. expects ethical behavior from police</li> </ol>                           |
| B. Midville City Council | <ol style="list-style-type: none"> <li>1. the Police Chief is responsible for police behavior</li> <li>2. police officers are behaving properly</li> <li>3. constant review and evaluation is conducted by police management</li> </ol>         |
| C. Chief of Police       | <ol style="list-style-type: none"> <li>1. he is responsible for his department</li> <li>2. consequences of unethical behavior is devastating to department</li> <li>3. community and city council don't understand police operations</li> </ol> |
| D. Police Employees      | <ol style="list-style-type: none"> <li>1. management unduly restricts officer action and discretion</li> </ol>  |

2. forcing new value structure on employees that is unrealistic
  3. must be more cautious in performance of duties
- E. Police Union
1. suspicious of community and management intent
  2. fears loss of control and political power
  3. change is increasing adversarial labor relationship
- F. City Manager
1. will suffer if police behavior creates controversy
  2. has duty to demand ethical police behavior
  3. holds police chief accountable for department operations
- G. Special Interest Groups
1. suspicious of police behavior
  2. can use political advocacy to control police behavior
  3. change will cost time and money
- H. Minority Groups
1. suspicious of police behavior
  2. may be singled out for unethical treatment
  3. distrust of police complaint process
- I. Police Management
1. have right and duty to set policy
  2. they can set policy better than others

- |                  |    |   |
|------------------|----|---|
|                  | 3. | they are caught in middle and will suffer first if unethical conduct occurs |
| J. City Attorney | 1. | will be criticized if unethical conduct occurs                              |
|                  | 2. | city liability will be decreased if police act properly                     |
|                  | 3. | suspicious of police use of power   |

Snaildarter

- |                              |    |   |
|------------------------------|----|---|
| K. Individual Police Officer | 1. | must look out for own interest  |
|                              | 2. | community and management don't understand the needs of the profession |
|                              | 3. | will be sacrificed in highly charged political situation              |

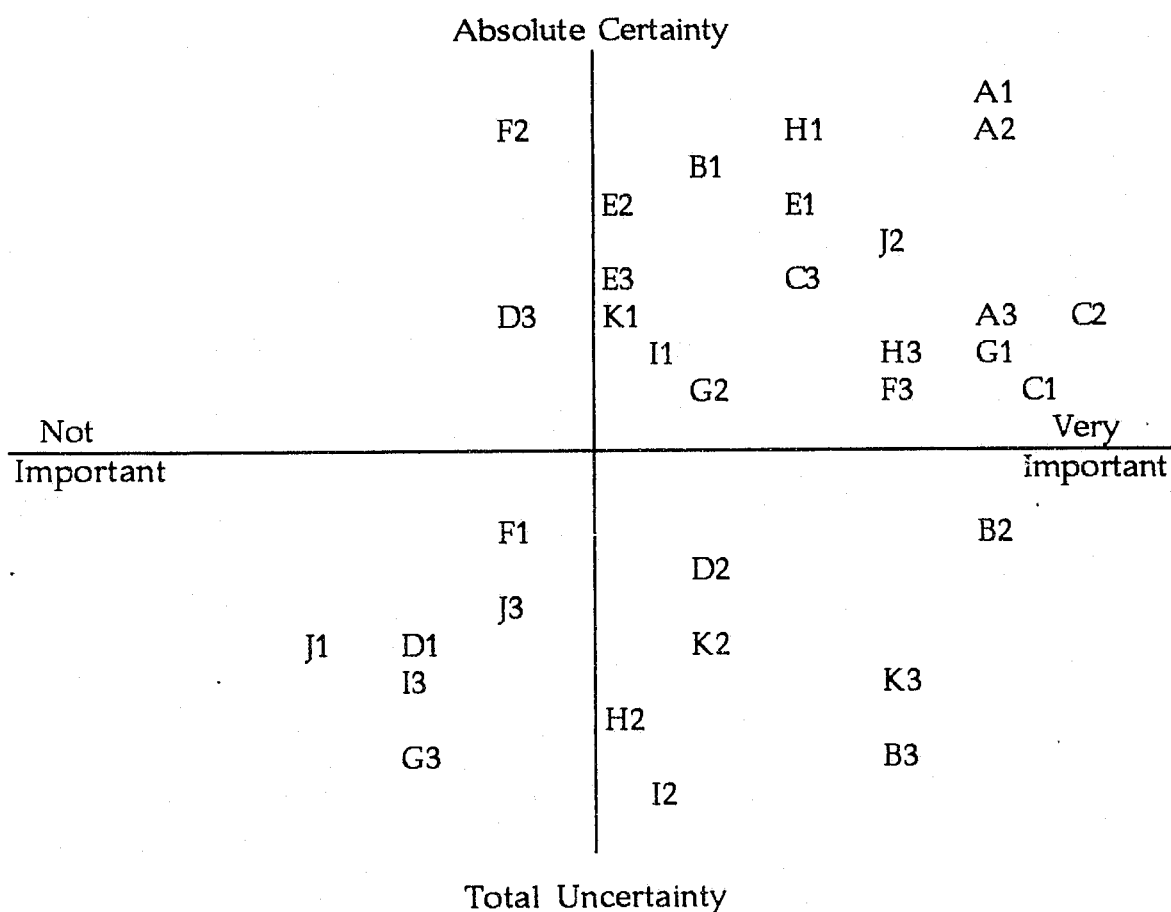
The stakeholder assumptions were plotted on a SAST map (Figure 12). The two criteria for plotting were how important the assumptions were to the study issue and to what certainty the assumption was true.

The assumptions that were placed in the not important quadrant were concerns about city employee self interest and cost. This reflects a fear of the unknown or the upsetting of the status quo.

The assumptions that were placed in the important but uncertain quadrant centered on lack of understanding and fear of retaliatory action. This included two snaildarter assumptions. Again, fear of change, not being understood, and personal harm ruled these ratings. They were uncertain due to lack of evidence that the assumptions would occur. Self preservation drove these assumptions. This is a strong driving force requiring action in the strategic plan.

The assumptions that were placed in the important and certain quadrant centered on responsibility, understanding, and outcomes of behavior. All assumptions of the community, the Chief of Police, and the labor union were rated as important and certain. Particular attention was paid to these stakeholders and their assumptions of responsibility, understanding, and outcomes of behavior. This analysis was considered when the selected strategy was chosen.

FIGURE 12  
STAKEHOLDER ASSUMPTION MAP



### Strategy Development

Selecting an adequate strategy to influence the future requires evaluation of alternative strategies. To consider all possibilities and develop alternative strategies a Modified Policy Delphi panel was assembled. The panel members were asked to consider the environmental, organizational, and stakeholder analyses of the Midville Police Department and suggest strategies to prevent the selected forecast scenario from occurring. Each suggested strategy was discussed and rated. The three top rated strategies are described below. A description of the panel members and the process used may be found in Appendix D.

#### Strategy #1

This strategy would involve using a series of community workshops that would include representatives from all affected community groups. The workshops would develop community expectations and ethical standards for the police department. A citizen committee would then assist in instructing all police employees on the established standards. The final component of this strategy would be a civilian review board designed to handle citizen complaints and decide on disciplinary measures.

The arguments for this strategy are that extensive community involvement would increase the community's trust level and confidence in the police department. It would counteract the xenophobic tendencies of veteran police employees and promote citizen support of police ethical standards and operational policies.

This strategy would place value on responsiveness to community needs and a move toward building a police department that reflected the

demographic mix of the community. Communication between individuals and groups would be enhanced along with individual trust levels. Employee accountability would increase with this strategy.

Arguments against this strategy are that it would take a great deal of time to bring a large group of people together to build a consensus on something so potentially controversial. There could possibly be difficulty in getting people or groups to participate due to apathy or unwillingness to accept responsibility for the results of the process. This strategy would be susceptible to emotional decisions, political influence, and deal making or compromise. In building a broad consensus the standards produced may be diluted and vague. This would open the standards to individual interpretation. There is nothing in the strategy that guarantees employee understanding or acceptance. It would probably encounter resistance from veteran employees or labor groups.

Many stateholders would support this strategy. The Midville community, special interest groups, and minority groups would be directly involved in this strategy. They would see this as a opportunity to establish control over the police department and to ensure that their expectations were met.

The Midville City Council, the City Manager, and the City Attorney would offer cautious support. They would view community support favorably but would be somewhat apprehensive of the shift in control of police department policy.

The police employees, the labor group, and police management would be suspicious of the strategy. They would cautiously evaluate the strategy as it progressed. Again, control and power relationships would be primary concerns.

## Strategy #2

This strategy envisions police employees determining ethical standards, conducting and participating in a training program for all employees, and providing continual retraining and evaluation.

The arguments for this strategy are that employees would support ethical standards that they are involved in developing. They would feel ownership. They would feel that it is a more realistic approach to the issue. This strategy provides for employee acceptance and understanding through the educational process and a method of reinforcement.

The arguments against this strategy are that the ethical standards that would be established would be narrow in viewpoint. They would be created without lending sufficient importance to new ideas and values or non-police viewpoints.

This strategy doesn't provide for community input, community education, or evaluation of employee performance. In short, it would not be responsive to the community or completely reflective of its needs. It also would not encourage increased recruitment to improve the demographic mix of employees in the police department. This situation would not promote increased public trust and confidence in the police department.

This strategy would be expensive and does not address employee non-compliance with the standards. Responsibility and accountability is not addressed.

The comfort level for many stakeholders, such as the employees, the labor union, police management, and the Police Chief would be high in this strategy. They would continue to conduct business much the same way as they always have. Given proper motivation this may be a successful strategy, but it would face widespread skepticism from most other stakeholders.



Community involvement and support would not be strong, if exist at all. In fact, community resistance may be generated by this strategy. The snaildarter would be most comfortable with this strategy as it would not encourage change.

### Strategy #3

This strategy envisions police management setting ethical standards for the police department. It would require reference to the ethical standards in all department guidelines, orders, supervision, regulations, counseling, promotions, and decision making processes. All performance evaluations and disciplinary actions would be completed based on the established ethical standards.

The arguments for this strategy are that it would promote consistency of ethical conduct throughout all operations of the department and that it would provide for reinforcement in many ways. Using ethical standards in promotions, evaluations, and policy creation keeps the standards fresh in everyone's mind and forces constant consideration of the standards. This strategy would be inexpensive. It would ensure greater compatibility with existing law and regulations, as the managers who would develop them generally have a solid knowledge of existing law.

Arguments against this strategy are that it would produce narrowly defined ethical standards that are held by just a few managers and that it doesn't allow for community or employee input on establishment of standards. This strategy would not be adequately responsive to community needs. Community support would be withheld due to lack of participation, and therefore suspicion. Employee support would also be weak as employees also would not have direct participation in the process, and therefore

ownership. Resistance from the labor organization would occur. This strategy does not guarantee that employee or community understanding will occur, as a training program was not included.

Stakeholder support would be weak. The Police Chief, police management, and the City Manager would support this strategy. The community, special interest groups, and minority groups would be very skeptical of this strategy. Employees, the labor group, and the snaildarter would oppose this strategy.

#### Preferred Strategy

After evaluating each strategy and how each addressed the suggested policy intervention for the selected futures scenario; how each interacted with environmental opportunities and threats, organizational strengths and weaknesses, and stakeholders; and how each satisfied the Midville Police Department mission statement; Strategy #3 was selected as the preferred strategy. However, specific aspects from Strategies #1 and #2 would be used to enhance the preferred Strategy.

The key weakness in Strategy #3 was the lack of stakeholder support due to only one group, the managers, developing the standards. To correct this weakness part of Strategy #1 would be used. A representative committee would be used to develop police ethical standards using members from the community, police employees, and police management. While community involvement would not be as broad as in Strategy #1 it still allowed for substantial community involvement at the start of the process, thus ensuring significant community participation and increased probability of community support. Not including additional community participation in the form of a citizen review board would reduce the risk of politicizing

department decisions and would minimize emotional response to situations. Stakeholder support from employees and management would be withheld if a citizen's review board overseeing disciplinary matters was instituted in this strategy. If ethical performance is instilled in police operations and management, community confidence in law enforcement should increase. This would reduce the community's desire for a citizen review board. This also would reduce employee anxiety and suspicion, and therefore increase commitment to the strategy. Key to this strategy is development of community feeling that police management is performing professionally and ethically when providing leadership to the department and evaluating police officer performance and allegations of misconduct.

If ethical standards were agreed upon by all members of the development group, the standards would be supported by all. In this process, community expectations, employee viewpoints, and management concerns can be shared within the group. While many viewpoints would be debated, candid discussion of these beliefs in an open forum would increase understanding of differing viewpoints. In this context, mutual support for the group product should be strong.

Community involvement in the process would also promote increased recruitment efforts to build a department that is reflective of the community demographic makeup.

Another weakness in Strategy #3 was the lack of a training plan. Opportunity for employee understanding and acceptance is inherent in a good training program. If ethical standards are supported by most stakeholders and employees are given ample time to read, question, and practice application of the standards, employees are more likely to understand and adhere to the standards. The training program would include the

opportunity for employees to discuss ethical dilemmas with each other and how the dilemmas apply to ethical standards. This would foster understanding and willingness to adhere to the standards. Similar training programs would be offered to members of the community.

When the two weaknesses in Strategy #3 were corrected through the use of comprehensive developmental workshops and a comprehensive training plan, Strategy #3 became the best selection.

The arguments for Strategy #3 standing alone are strong. Consistency in application of ethical standards is of paramount importance to continuing ethical police performance. Hiring and promotional decisions would be made by evaluating compliance with departmental standards. Policy creation, supervision, performance evaluations, employee counseling, and discipline would all be based on ethical standards. Applying ethical standards to all of these aspects of police operation would ensure that everyone would constantly consider the standards. Reinforcement would be continual, and would not wait for periodic, and usually inadequate retraining.

Strategy #3, as modified by additions from the other strategies, would meet the requirements of the mission statement. It provides stakeholder support and a comprehensive operational approach to responsibility, understanding, and concern for outcomes of strategy implementation.

The study issue and sub-issues are addressed using this strategy. First, it provides a method for developing ethical standards for police officers through community, employee, and management cooperation.

Second, the strategy provides methods for understanding and adherence through training programs and department policy application.

Third, the strategy provides answers to the question of the effect of the evolving workforce value structure. The various panel members believed

that responsive and ethical police conduct would not be negatively affected by a more diverse workforce if valid standards were developed. Compliance with valid and widely supported standards could be gained from anyone who was willing to do so. The panels believed that a more diverse workforce would enhance development of valid and supported standards.

A significant issue that must be addressed is how this strategy will be affected by the receptiveness of police employees. Police officers have tended to close ranks when inquiry or criticism is directed toward them. Strong fraternal bonds develop due to the experience of common problems, fears, and mutual dependency in times of danger. This peer loyalty causes officers to automatically protect fellow officers when officers are accused of, or actually commit, acts of misconduct. This protective behavior is rationalized by police officers who claim that outsiders do not know how difficult their job is or that the public doesn't understand what officers have to do to perform their job adequately. This may be true in many cases but it cannot be used as an excuse of unethical conduct.

Historically, police officers and people in related law enforcement fields have established ethical standards on their own. Standards have been developed from a single perspective, the law enforcement perspective. While most of these ethical standards would probably be supported by the public, there has been little, if any, open mutual discussion on what ethical police conduct is. Hence, when ethical conduct issues arise, there frequently is disagreement on the appropriateness of officer conduct in a specific situation. Since the public did not participate in the setting of police ethical standards, and may not have a full understanding of the complexities of police work, citizens do not feel comfortable or trusting when police behavior is evaluated against these standards. This is the source of conflict, resentment, and lack of trust between the police and the public.

The goal of this selected strategy is to create a situation in which police officers and the public mutually support ethical codes of conduct and understand the difficulty in applying standards of conduct in everyday life. Mutual agreement and understanding reduce conflict and lack of trust. Ideally, if this can occur then police officers would be less likely to close ranks for self-protection and would begin to effectively regulate themselves. The fear of getting caught and the imposition of discipline is not an effective method of controlling behavior, although it is sometimes necessary. Due to the amount of power and discretion police officers have self-regulation, rather than fear of punishment, is most important in ensuring ethical police behavior.

Including the police union president as a critical mass player and including police employees in ethics standards development recognizes the importance of acceptance and cooperation from police officers. Providing training on ethical conduct and allowing discussion of ethical dilemmas will open up communication within police organizations and between the public and the police. This will reduce distrust and misunderstanding and decrease the perceived need for closed ranks, something that disciplinary action has not accomplished.

#### Micro Mission Statement

A micro-mission statement was created to provide direction for the selected strategy.

The Midville Police Department believes that ethical police officer behavior is mandatory to effectively complete our mission. To provide ethical police services to the community the Midville Police Department will:

- ✓ enlist collaborative community, employee, and management efforts to develop a commonly supported set of ethical standards for police officers based on legal requirements, professional standards, and community needs
- ✓ make all decisions required of us based on ethical standards, including policy, hiring, promotion, performance evaluation, arrest, and the use of force
- ✓ provide initial and continuing ethical standards training for the community and police employees, including the opportunity for discussion of ethical decision making
- ✓ value diverse methods of providing ethical law enforcement services to the community by developing a diverse workforce
- ✓ constantly evaluate our standards and development systems to ensure that the standards are valid and reflect community beliefs, and reinforce ethical behavior through reward and correction

### Implementation Plan

An implementation plan for the preferred strategy was designed. The plan would follow a four step process:

1. Ethics standards creation by the Stakeholder Committee
2. Stakeholder communication to the public and employee training to produce understanding

3. Reinforcement of ethical standards in all organizational operations and recruitment
4. Evaluation, and modification if needed, by stakeholder committee

#### Stakeholder Committee

The stakeholder committee would consist of representatives of interested and representative community groups, the City Council, police management, police employees, and the employee labor group. Constitution of the group would be critical to acceptance of the process and credibility of the results.

The City Council, as duly elected representatives of the community, would provide leadership for this process. Committee membership would be determined by the City Council and a councilmember would act as chairperson.

The committee would establish goals and objectives for creating police department ethical standards. They would set time requirements for completion of the task and receive required training in legal requirements and group process. After the committee created a document establishing ethics standards for the Midville Police Department, the document would be reviewed by any interested community member, the City Council, the City Manager, the Chief of Police, police management, any police employee, and the employee labor group. Any interested party could provide feedback to the Stakeholder Committee. The Committee would consider the feedback and make additions or modifications as necessary. This final document would be sent to the City Council for ratification. After ratification, it would be sent to



the police department for implementation and published as public information.

### Communication and Training

The City Council would be responsible for communicating the ethics standards to the public. The Chief of Police would be responsible for informing and training police employees.

The primary implementation task would be to provide ethics training to all employees. This would be completed by the department training manager. The sessions would include instruction on the nature of human morality, the different belief philosophies, and presentation of moral dilemmas that students would be required to discuss in a group setting. A yearly program of ethics standards review would be presented to all employees.

### Reinforcement in Organizational Operations

The next implementation task, to be completed by top management, would be to review all current department policy, procedures, rules, and regulations for compliance with the ethical standards. If non-compliance was discovered the deviance would be corrected immediately. Beginning with implementation of the plan by the City Council, all new policy, procedures, rules, and regulations should be developed in compliance with the ethical standards and would mention how ethical standards are being complied with in the document.

Another task would be to develop a comprehensive recruitment plan designed to create a police department that mirrors the demographic mix of the community.

An additional implementation task would be to establish absolute supervisor and manager responsibility for employee compliance with the standards, application of the standards, and constant reinforcement of the standards. This will address accountability within supervisory and management ranks.

Specific areas that ethics standards would be applied are:

- ▶ hiring processes (written questions and scenarios)
- ▶ promotional processes (written questions and scenarios)
- ▶ employee training (how the standards relate to training subjects)
- ▶ employee performance evaluations (compliance with standards)
- ▶ employee counseling (how a specific concern relates to standards)
- ▶ disciplinary decisions (severity of ethics violation dictates sanction)

#### Formative Evaluation

The last task would be a continual one. Periodic evaluation of the ethics standards for validity and the implementation plan for reliability and compliance would be conducted. This should be done by the Stakeholder Committee. If the Committee feels that modifications are needed, they would make recommendations to the City Council. The Council would act on the recommendations, following the original process.

Formative evaluation is a critical task that must be completed if the strategy is to be successful and the mission achieved.

### Cost Analysis

The monetary cost to implement this strategic plan should be minimal. The most costly resource would be employee time needed to participate in the plan. Employee training time and staff time to review and modify Department policies and procedures will be significant, but most of this time should be diverted from other activities that are currently being done but which assume a lower priority for completion. Employee overtime may be required but should be kept to a minimum with effective scheduling and priority setting.

Other costs to be considered are the cost of copying written materials generated by committees and publishing costs. While these costs could become significant, using established in-house resources and keeping the paper product to a minimum should make the costs acceptable.

Cost of integrating ethical standards in departmental processes such as recruitment, hiring, performance evaluations, discipline, and promotion should be minimal with the costs being absorbed by redirecting priorities to using current resources for this strategic plan and delaying other cost producing programs.

Analysis of the costs involved in this strategic plan does not uncover any costs that would prevent the plan from being used if it is thoughtfully implemented. The importance of ethical conduct by police officers should allow evaluation of organizational priorities so that the strategic plan would be afforded resources before other programs.

## TRANSITION MANAGEMENT

### Methodology

A transition management plan was developed to implement the strategic plan designed for the fictional Midville Police Department. In Organizational Transition, Beckhard and Harris describe transition management as "getting from here to there."<sup>55</sup> Midville P. D. needs to move from a situation of growing community dissatisfaction to one of community trust and credibility. This transition management plan will be needed to successfully implement the strategic plan.

Three methodologies were used to develop the transition management plan. The methodologies were:

1. A commitment plan was developed using Critical Mass Assessment
2. A management structure to manage the transition was selected
3. Techniques were chosen to support the transition plan

### Commitment Plan

Critical Mass Assessment is designed to identify key individuals who can deliver support for a plan or influence others to support a plan. The Critical Mass should never be more than ten actors. The Critical Mass Actors can dictate a plans success or failure. Using the list of stakeholders identified in the strategic plan, a list of critical mass actors was identified. The level of support needed from each actor was determined and strategies developed to gain needed support. The Critical Mass Players identified were:

1. the Midville Mayor
2. the Chief of Police
3. the police union president
4. a representative of the Midville business community
5. a representative of Midville neighborhood groups
6. a representative of Midville minority groups

The level of commitment to the plan of each player was determined and charted on a Critical Mass Assessment chart (Figure 13). The 'x' in the chart designates the players current level of commitment, while the 'o' designates the desired level of commitment. Strategies to move each actor from current level to desired level are discussed below.

#### Mayor

The mayor is generally the most influential elected official in city government. A supportive mayor would ensure that the rest of the elected city officials and the city manager would lend appropriate support to the strategic plan. The mayor's current level of commitment is in the *let it happen* area. The Chief of Police has previously identified the ethics issue. While the mayor is concerned about the issue he is relying on the Chief to control the performance of the police department. The current need to actively participate is not great for the mayor. For successful implementation of the plan, the mayor should provide leadership by helping. Mayoral influence would be crucial to bringing all the active participants together, especially the city council and the city manager, for productive sessions. The strategic plan should be explained to the mayor. The value of the issue and the importance of his influence must be stressed by the Chief of Police to move the mayor into the *help* area. Risk management, police department

credibility in the community, and community financial support should be the justification used to persuade the mayor. An indifferent mayor would damage the transition plan.

#### Chief of Police

The Chief would deliver support from the police management group. The Chief originally identified the ethics issue in Midville. He assumed a position in the *make it happen* area. To facilitate the transition the Chief must provide leadership and direction during the course of the transition and ensure logistical support. He must stay in the *make it happen* area for the plan to be successful.

#### Union President

The union president would deliver support from the labor organization. The labor leader acts as a voice for all union members. Gaining support for the plan would be easier if the union was approached as opposed to approaching individual employees. Contractual and meet-and-confer issues would move smoother with labor support. The president's current level of commitment is in the *block it* area. He would act cautiously as an advocate for the best interests of his constituency. Until he supports the process, successful transition would face major difficulties. To move the labor leader to the *help* area the mayor and a community representative must prove to the president that the strategic plan is good for the union. These two actors would provide more credibility to the task than a *make it happen* actor, such as the Chief of Police. The union must be convinced that without support from the community, support built through mutually developed ethical standards, the economic and philosophical interests of the

union members would not be improved. In fact, they could be damaged, considering the current state of affairs identified in the futures and strategic analyses. If a police department has more than one union representing employees, all union presidents should be included in the critical mass.

#### Community Business Representative

A leader from a large, influential city business group, such as the Chamber of Commerce, would deliver support from the business community. Business support is important due to the financial, hence political, impact the business community has on the city. The current business commitment level is in the *let it happen* area. While the business community is interested in a well run police department, the need to become actively involved is not great. They have not been hurt by the problems in the police department, yet. The implementation plan calls for a broad-based community group to develop ethics standards. Business representatives would surely be in this group. Having a business leader's support would be crucial to securing business community support and cooperation. The business leader should be moved to the *help it happen* area. The Mayor and Chief of Police should do this by explaining the objectives and phases of the plan to the leader. The projected results of the plan should be explained in terms of how they will help improve business conditions in the city.

#### Community Neighborhood Representative

A leader from a large, influential neighborhood group would deliver support from the community. This is the Critical Mass actor most likely to fail to deliver expected support due to the many different needs of different neighborhoods. Trying to address the concerns of diverse groups would be

difficult, at best. Depending on the issues and number of citizen groups existing in a given community, additional critical mass actors may be needed. As with the business leader, the neighborhood leader is currently in the *let it happen* area. Police department credibility in the community is low. Many neighborhood groups don't feel that their police concerns are being addressed. Enthusiasm to participate is also low. However, citizen participation in the plan is crucial. The neighborhood leader should be moved to the *make it happen* area to provide needed neighborhood involvement. The neighborhood leader should be moved by ensuring that participating citizens would play an important role in developing the ethics standards, and reviewing them periodically. How improved ethics standards would affect citizen/police relations should also be used to justify increased commitment. This should be done by the Mayor and the Chief of Police.

#### Minority Group Representative

Support from an influential minority group leader would lend credibility to the plan. Minority groups would be suspicious of the process from the start. Minority inclusion in the process would provide those who harbored suspicion of the process direct access to all information and decisions. This would significantly reduce minority anxiety and distrust. This actor would be a critical one for the success of the plan. S/he would start in the *let it happen* area. S/he should be moved from the *let it happen* to the *help it happen* area by the Mayor and the Chief of Police. Arguments used should be that an ethical police department treats all citizens fairly. The groups would have nothing to lose if their initial position was one of distrust and suspicion. Their situation could only get better if the plan was partially or completely successful.



The identified Critical Mass Actors are from all spectrums of the community. This is because phase one of the strategic plan calls for participation from all parts of the community. The Critical Mass Actors would be able to deliver support from all identified stakeholders.

FIGURE 13

## CRITICAL MASS ASSESSMENT

Actors in Critical Mass	Type of Commitment			
	Block Change	Let Change Happen	Help Change Happen	Make Change Happen
Mayor		✕→→→→→→→●		
Chief of Police				✕●
Union President	✕→→→→→→→→→→→→→→→●			
Community Rep. Business		✕→→→→→→→→→→→●		
Community Rep. Neighborhood		✕→→→→→→→→→→→●		
Community Rep. Minority Group		✕→→→→→→→→→→→●		

### Management Structure

As described in the strategic plan, the implementation plan is divided into the following four phases:

1. Stakeholder committee produces ethics standards
2. Stakeholder communication with the public and employee training to produce understanding
3. Reinforcement of ethical standards in all organizational operations
4. Evaluation, and modification if needed, by stakeholder committee

To determine what type of management structure the transition plan required an analysis of the four phases. The analysis showed that many different resources would be needed to complete the plan.

In the first phase of the plan facilitation of the efforts of many different people in the stakeholder committee would be needed. This would be a sensitive task due to the many concerns that would be expressed during this process. The city council would compose the committee and one council member would act as chairperson.

In the second phase the City Council would need assistance to inform the public of the established ethics standards. The Police Department would be required to educate employees about the standards. The Department's community relations and training units would be used to complete these tasks.

The third phase would require coordination of all staff members in the task of reviewing, and revising if necessary, all Departmental rules and regulations to ensure compliance with the ethics standards. An aggressive

recruitment plan must be developed and completed. Ensuring that all Department supervisors enforce the ethics standards and that all disciplinary actions taken are done so in accord with the standards will also be necessary. Management staff would complete these tasks.

Also in the third phase, the Department's personnel unit would be needed to incorporate the ethics standards into all recruiting, hiring, promotional, and performance evaluation activities.

The fourth phase would require periodically reconvening the stakeholder committee to reevaluate the ethics standards and implementation efforts. All other phases would need to be repeated if the standards are revised.

The selected transition management structure must be able to accomplish all of these tasks. Due to the broad nature of the tasks (working with citizens, with the city council, with management, and with employees) appointing a project manager from the management ranks and providing broad authority and responsibility would be the most effective management structure. The Chief of Police should make the selection from Midville's top management employees.

The employee selected as project manager should be respected in city management circles, the police department, and the community. The manager's interpersonal communication and facilitation skills should be excellent.

The project manager should have authority to use department resources when necessary and should be held responsible by the Chief of Police for timely and effective completion of the plan.

The project manager would act as a facilitator for the stakeholder committee. The stakeholder committee would be responsible for generating a

timely and complete product. The committee would be constituted by the city council and a council member would act as chairman and be responsible for completion of the committee product. The project manager would act as a resource and facilitate completion of committee work.

Once the committee produced an ethics standard it would be reviewed and approved by the City Council and community input will be solicited. Based on the input, the council could send the product back to the stakeholder committee for revision. When a final product was produced the standards would be passed to the Police Department for use in phase two of the implementation plan.

A project manager would have authority to cross traditional lines of authority, coordinate and complete needed work with the training personnel, and management units.

As required in phase four, the project manager would have the authority to continue the evaluation process and send the standards to the stakeholder committee for review when needed.

Appointment of a project manager would be the most effective management structure for this transition plan. The manager's availability and authority to interact with a wide variety of groups would be mandatory. Providing broad authority to cross organizational lines and to direct resources would demonstrate the organization's commitment to the plan.

### Transition Techniques

#### Goal Statements

The first technique used would be development of goal statements from the strategic plan micro-mission statement and implementation plan.

Goal statements would provide direction and structure for implementation plan participants and police department employees. The goals would be created and disseminated to all involved or interested parties by the project manager.

### Responsibility Charting

With goal statements in place, responsibility charting would be completed to affix task responsibility, task expectations, and authority to all participants. Four separate charts would be completed for the stakeholder committee (phase one) and the police department (phases two through four). Separate charts would be used because of the different constitution and responsibilities of each group. The committee chairperson in phase one and the project manager in phases two, three, and four would be responsible for completion and use of each chart. A Responsibility Chart was developed for the Implementation Plan to fix responsibility for completion of the four phases of the plan (Figure 14).

FIGURE 14  
ACTOR RESPONSIBILITY CHART

Task	Actor				
	A	B	C	D	E
Develop Joint Committee	R	S	S	S	I
Produce Ethical Standards	A	R	S	S	S
Inform Public	A	S	R	S	S
Educate Police Employees	--	--	I	A	R
Police Policy Revision	I	I	I	A	R
Recruitment/Promotional Improvements	I	I	S	A	R
Evaluation	A	R	I	S	S
A	Mayor	R	Responsibility (not necessarily authority)		
B	Committee Chair	A	Approval (right to veto)		
C	City Manager	S	Support (put resources forward)		
D	Chief of Police	I	Inform (to be consulted)		
E	Project Manager	--	irrelevant to this item		

#### Citizen Instructional Course

Common understanding of the role of a police officer in American society would be a critical component of this program. Police officers spend many months in training prior to assuming the duties and responsibilities of a peace officer. It would be unreasonable to assume that a citizen, who had

little or sporadic contact with the legal system, would possess a clear understanding of these duties and responsibilities. This lack of knowledge may be the largest source of misunderstanding between officers and citizens. Therefore, to increase citizen understanding of the police officer's job, an in-depth instructional course would be provided to all citizens who would participate in this strategic plan. The course would cover, but not be limited to: arrest, detention, evidence, and search and seizure; use of deadly and non-deadly force; conflict resolution; crowd control; and, application of discretionary power. This course would give the participants a factual and realistic basis for participation in group discussion and decision making on ethical standards.

#### Brainstorming

Another technique would be brainstorming. This would be used by the Stakeholder Committee in phase one to establish all matters of concern to the stakeholders. With many different constituencies involved in the process this open format of idea sharing would best facilitate idea identification.

#### Nominal Group Technique

The next technique used in phase one would be the nominal group technique. It would be used by the Stakeholder Committee to produce ethical standards for the Police Department, but could not be used until substantial instruction on legal requirements and ethical considerations for police officers could be provided to the panel members. The Project Manager would act as the facilitator for this process. The instruction could be provided by the City Attorney's Office as opposed police officers to lend credibility to the information given to the members and avoid feelings of conflict of interest.

### Communication Methods

The fifth technique that would be used is video tape and informational bulletin presentations. These techniques would be critical to communicating project issues and progress to all interested parties, including employees and community groups. A video tape would be disseminated regularly. This would provide citizens and police employees with current information on all developments in the process. Printed information bulletins would supplant the video tape as reinforcement. This would be accomplished by the project manager.

### Combined Instructional Methods

The classical four-step instruction process would primarily be used to educate employees. It would be used to inform employees about the established ethics standards. It would allow the employees to discuss and practice applying the standards. It would also provide for testing and confirmation of employee understanding. The training unit would be responsible for using this technique, at the direction of the project manager. An additional method would be integrated with this process. Presentation of ethical dilemmas and discussion would be used within the instructional process. This would allow development of employee ethical thought processes, as opposed to only mandating what behavior would be acceptable. The goal would be to ensure that the employee would want to perform ethically and not do so solely out of fear of discipline.



### Police Feedback System

Regular in-person meetings and an anonymous question and suggestion box would provide an employee feedback system that would provide an important opportunity for employees to ask questions about the goals, implementation, and results of the plan. This would control rumor and reduce resistance by police employees. This would also be accomplished by the project manager.

### Attitude Survey

A method of assessing the attitudes of citizens and police employees would be used to determine if understanding was increased by this plan. The education and discussion provided in this plan are designed to increase understanding of citizen and employee expectations and the realities of policing American society. Setting a goal of changing attitudes would be unrealistic, but setting a goal of increasing understanding would be realistic and attainable. If understanding was increased attitudes may change. To determine if understanding increased a survey of participant attitudes would be administered prior to the start of the plan. Additional surveys would be administered after committee meetings had been completed and after training had been completed. Finally, a survey would be administered after the plan had been fully implemented. The results of these attitude surveys would be compared to determine if the program had been successful in increasing understanding between all participants and if attitudes had changed because of the plan. The surveys would provide information to improve the plan, if needed.

### Formative Performance Evaluations

The last techniques used would be a valid and reliable employee performance evaluation process to determine the level of employee adherence to the ethical standards in performance situations and a comparison evaluation of citizens complaints, claims, and law suits filed against department employees after implementation of the plan. The project manager would be responsible for managing the evaluation processes and determining the effectiveness of the standards and implementation process.

## SUMMARY

A fictional police department was created and used in this study to provide a framework for this futures research effort. The findings and processes developed in this study were geared to the fictional department, but are intended for use in any police agency. Ethical behavior is generic to all law enforcement officers.

The introduction of this study identified a need to study a serious threat to our system of government. Police Officers are entrusted with unusual powers that no other citizen is allowed. The authority to use force, restrict freedom, and seize property assigns great responsibility to police officers to treat people fairly and to conduct their business in an ethical manner. Recent revelations of misconduct by a few police officers have shaken public belief that police officers are performing their duties properly and effectively.

The issue that was explored was:

**What methods will law enforcement agencies use to ensure employee understanding of and adherence to ethical standards by the year 2002?**

Three sub-issues were identified as critical to this issue.

**How will agency ethical standards be developed?**

This study identified a process that will be used in the future to develop ethical standards. It will involve a collaborative effort between the community, elected officials, and police professionals. It is an involved and lengthy process, but it is one that will create standards the community will feel comfortable with and support and that employees will understand, accept, and follow.

**How will agencies educate and reinforce understanding and adherence to ethical standards?**

This study identified instructional and reinforcing techniques that would be used in the future. Police employees would receive ethics training on established ethical standards using a combination of traditional and non-traditional techniques. The classical four-step teaching process would be used. Within the classical process, a process of presenting ethical dilemmas to employees and allowing them to develop reasonable approaches to ethical solutions and decisions would also be used. These solutions and decisions would be based on mutually developed and supported ethical standards. Reinforcement of ethical police officer conduct will be accomplished by basing all hiring, promotional, policy, and disciplinary decisions on ethical standards. When employees understand and accept that ethical standards are what all decisions are based on, voluntary ethical behavior should become the behavioral norm for police officers.

**How will evolving workforce diversity affect standards development and the educational process?**

The study revealed that increased diversity in the workforce will positively affect the issue. Each of the study panels believed that adding diverse ethnic and gender viewpoints to a once homogeneous workforce would enrich the process. The more ideas and viewpoints expressed on a particular issue, the greater the opportunity to study alternative solutions and select the best solution. Employing a workforce that is demographically representative of the community would also increase the ability of the police department to respond to community needs. Diversity would not adversely affect a workforce that is operating on commonly supported ethical standards. Strong ethical standards, supported by all involved, would allow a

department to identify applicants or employees who do not follow these standards and deny them a position of trust. This process would reinforce ethical norms of police behavior.

## THE APPENDICES

**APPENDIX A**  
**Nominal Group Technique**

## Nominal Group Technique

### Group Members

The group consisted of the following members:

1. City Manager: experienced city manager from California city of 50,000 people.
2. Chief of Police: experienced chief of police from California city of 60,000 people. Had prior experience as city manager and special interest in ethics issues.
3. Federal Law Enforcement Agent: experienced federal law enforcement agent and instructor at the F.B.I. National Academy. Has Ph.D. in Criminology and is a noted law enforcement futurist.
4. Acting Chief of Police: experienced police captain and acting chief of police for California city of 50,000 people. Experienced instructor in hostage negotiation for state agencies.
5. Police Captain: experienced police captain in California city of 40,000 people. Experienced instructor in many law enforcement areas.
6. Law Enforcement Consultant: experienced law enforcement officer and State of California training agency administrator.

### Methodology

The nominal group consisted of six members. They were selected for their knowledge of public sector management. All were experienced managers.

Panel members were given advanced notice of the study issue and sample trends and events to stimulate thought on the subject.

When assembled, the panel was given an explanation of the process. Each panel member was allowed time to develop candidate trends and events, and asked to offer those candidates during round robin discussion. Additional discussion was held to provide clarification of the candidates.

The panel members rated each candidate in relative importance. Additional discussion was held and similar trends and events were combined and the candidates were rated again.



The five most important trends and five most important events were selected from the candidates. The top trends and events were then forecasted for future trend levels and future event probability of occurrence.

**APPENDIX B**  
**List of Candidate Trends**

### List of Candidate Trends

#### Selected trends

1. Frequency of CEOs held accountable for officer misconduct
2. Level of public involvement in police misconduct review
3. Public confidence in law enforcement performance
4. Influence of diverse cultural and ethical values in police officer applicant pool
5. Influence of police unions in setting ethical standards and discipline process

#### Other Trends

6. Evolving law enforcement recruitment standards (education, testing, legal, personnel)
7. Availability of financial resources
8. Use of technology for recording police intervention
9. Initial and recurrent ethical decision making training for all law enforcement employees
10. Divergent views between high profile academics and police professionals
11. Independent state review of police misconduct
12. Availability of qualified law enforcement candidates
13. Police officer "code of silence" subculture
14. Individual employee rights within police organization
15. Media developed ethical standards for law enforcement
16. Level of acceptance of community based policing
17. Academic research on law enforcement ethical standards
18. Availability of qualified officer candidates
19. Diverse ethnic concern in law enforcement ethical standards
20. Divergent views between academic researchers and police professionals
21. Ethical values of police organization and management
22. Societal ethical standards
23. Violence, crime, and drug abuse in communities
24. Authority of police management to deal with ethical issues
25. Reticence of agencies or administrators to deal with ethical issues
26. Disciplinary process requirements

## **APPENDIX C**

### **List of Candidate Events**

List of Candidate Events

## Selected Events

1. State legislation mandates law enforcement licensing and accreditation.
2. State legislation mandates civilian review board for police misconduct.
3. Undercover reporter writes expose on police department misconduct.
4. POST is eliminated by the state legislature.
5. Police union challenges agency ethical standards in court.

## Others

6. Media depiction of incident causes riot.
7. Case decision or legislation prevents pre-employment polygraphs.
8. Police CEO prosecuted or fired for allowing ethical misconduct.
9. Aggressive grand jury reviews police incident.
10. Selection standards for police recruits are reduced (such as prior drug conviction).
11. Legislation passed mandating law enforcement ethical guidelines.
12. Officer convicted of not reporting another's officer's misconduct.
13. Courts rule that officer off-duty conduct not job-related.
14. Ethics testing instrument developed for law enforcement.
15. College degree required for hiring as police officer.
16. Legislation prevents use of psychological testing for employment.
17. Local taxes dedicated to police authorized.
18. Legislation mandates "openness" in L.E. operations.
20. Legislation mandates continual ethics training for all officers in state.
21. Street gangs take over East Los Angeles.
22. State legislation mandates drug testing for police officers.

**APPENDIX D**  
**Modified Policy Delphi**

## Modified Policy Delphi

### Panel Members

The panel consisted of the following described members:

1. Police Captain: law enforcement officer in California city of 100,000 people. Has extensive experience in narcotics and criminal investigation supervision and management.
2. Police Captain: law enforcement officer in California city of 40,000. Has general experience in all aspect of police operations. Also serves as police science instructor.
3. Police Captain: law enforcement officer in California city of 15,000. Has comprehensive experience in all aspects of law enforcement, including serving many years as second in command.
4. Police Lieutenant: law enforcement officer in California city of 1,000,000. Has lengthy experience in vice investigations and field training management. Also serves as a police science instructor.
5. Police Lieutenant: law enforcement officer in California city of 500,000. Has extensive experience in homicide investigations and policy development and operations inspection.
6. Police Lieutenant: law enforcement officer in California community college district. Has experience in all areas of college policing.

### Methodology

The modified policy delphi consisted of six members. They were selected for their knowledge of public sector management and interest in the area of police ethics. All are experienced police managers and hold masters or bachelors degrees.

Panel members were given advanced notice of the subject to be discussed by the panel. They were asked to study the description of Midville P. D. and the WOTS-UP AND SAST evaluations and given sample policy alternatives.

When assembled, the each panel member was asked to offer strategy suggestions to the panel based on the futures forecast. These suggestions were

discussed openly by the panel and rated. The panel made consensus decisions on the best three alternative strategies.



**NOTES**

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NOTES

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<sup>28</sup>"2 Nashville Cops fired for Beating Black Officer," San Francisco Chronicle (December 19, 1992).

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29"Former San Quentin Guard Pleads Guilty to Drug Charge," Marin Independent Journal (August 9, 1991).

30"Some Sympathy for the Police in Berkeley," San Francisco Chronicle (October 25, 1992).

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