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WHAT WILL BE THE EFFECT OF EMPOWERING THE LINE OFFICER IN A MEDIUM SIZED POLICE AGENCY BY THE YEAR 2004?

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ACQUISITIONS

TECHNICAL REPORT

BY

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

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

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

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

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

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"...the person doing the job knows
far better than anyone else the best
way of doing that job and therefore is
the one person best fitted to improve it"
Allen H. Morgensen[1]

INTRODUCTION:

A powerful orthodoxy rooted in the traditions of military command and scientific management has provided the customary foundations for the theory (and much of the practice) of police management.[2] Law enforcement as a profession has been, is now, and will in the future be facing many significant challenges. The leadership of policing organizations has been striving for excellence through a myriad of strategies. According to Attorney General Daniel Lungren, these include improved training for all levels of employees, greater attention paid to employees needs, creating a more user friendly work environment, improving employee participation in their work, providing improved services to the customer, reducing citizen's fear of crime, improving the quality of life for residents of the communities served, and involving the community representatives in the problem resolution strategies employed.[3]

Trends and events occur which mark the need for radical departure from traditionalist ways. For example, the economy has been marked by a growing national deficit; changes in international politics have resulted in the decline of the 'military industrial complex', and the transfer of emphasis in national spending policies. The State of California has been struggling with a declining state budget: in 1992 issuing IOU's in lieu of standard warrants; and, in 1993, significantly reducing moneys previously earmarked for cities and counties in order to meet legislated obligations to education. Additionally, the rapidly changing complexion and composition of the work force has a substantial impact upon policing recruitment and retention issues.

What Will Be The Effect Of Empowering Line Level Employees Within A Medium Sized Police Agency By The Year 2004?

Abstract

The issue of enabling line level employees of a medium-sized police department to have greater control over their work is examined. The issue was deemed important due to the identified trends of reduced fiscal resources for municipal entities, the changing work force - highlighted by the large influx of the twenty-somethings, and the amount of participation desired by employees in the decision making processes involving their work. For study purposes the empowering of line employees was built upon a foundation of Community Oriented Policing. Empowering employees needs to be supported by improved communications, reduced barriers, and more receptiveness to change; the organizational culture will change. Enhanced communication and broader skill training allows for more effective organizational restructuring. Supervisors role will become more akin to a 'coach'. The study includes trend and event evaluations; there are references, appendixes, and a bibliography.

Journal Article

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SACRAMENTO, CALIFORNIA
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INTRODUCTION:

A powerful orthodoxy rooted in the traditions of military command and scientific management has provided the customary foundations for the theory (and much of the practice) of police management.[1] Law enforcement as a profession has been, is now, and will in the future be facing many significant challenges. The leadership of policing organizations has been striving for excellence through a myriad of strategies. The following illustration depicts the evolution of American policing from the mid-nineteenth century through the 1990's:[2]

Illustration #1:

Political Era		Reform Era		Community Oriented Policing	
	Progressive Period		Command & Control		
1840's	1900's	1930's	1950-60's	1970's	1990's
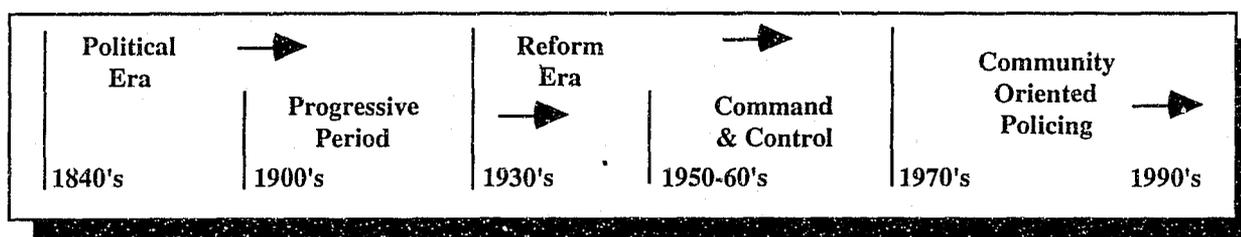
The Evolution of American Policing

A literature scan of issues impacting law enforcement identified Community Oriented Policing as a philosophical model which is influencing "70 percent of municipal police departments."[3] In a study published in 1994, by the National Center for Community Policing, 81% of the responding agencies said that they had either made the commitment to COP or planned to in the future.[4] Within most Community Oriented Policing models, police officers' duties change from a 'traditional' orthodoxy with an emphasis on enforcement toward more social problem identification and resolution. Officers work with the community they serve, as partners, in identifying root causes of 'problems' and often develop mutually arrived at resolution strategies -- as opposed to repeatedly servicing the same symptoms.

This trend, identified as Community Oriented Policing[5], is influencing international policing, and has been since the 1970's. Community Policing has been called "an intangible,

1

though constant, philosophy and mindset".[6] Community Policing is defined as "a philosophy, management style, and organizational strategy that promotes pro-active problem solving and police-community partnerships to address the causes of crime and fear as well as other community issues."[7] This is not a treatise on Community Oriented Policing: C.O.P. is the foundation upon which this article builds. Building upon Community Oriented Policing as a foundation, this article addresses the empowerment of line employees.

Empowerment is the sense that one has the power to make the necessary decisions affecting the major aspects of one's work.[8] William Byham says that empowerment is that psychological energy that activates employees.[9] Byham also wrote that empowerment helps employees take ownership of their jobs to improve performance. Empowerment is the sense that one has the power to make the necessary decisions affecting the major aspects of one's work.[10] Empowerment helps employees take ownership of their jobs to improve performance.

There is a change in the workforce occurring. There is a generation of people demanding a far different approach to work than ever before. Organizations hoping to compete successfully will have to recognize their employee's needs for participation in the decision making processes.[11] Even Japan is seeking ways to empower the workforce and give it more accountability. Organizations are shifting to cultures that place a premium on empowerment and involving the workforce.[12]

Through community oriented policing models many policing agencies have begun the journey through organizational cultural change. Empowerment is the natural extension of this journey. This article will carry the empowerment concept forward two additional steps: to the implementing of a team concept; and then the implementation of self-directed work teams. In 1987 Thomas Peters said, "organize as much as possible around teams, to achieve enhanced focus, task orientation, innovativeness, and individual commitment."[13]

In the 1970's manufacturing companies began to experiment with employee work teams. Teams comprised of eight to twenty members, each of whom had a sense of responsibility for the team's output. The teams were kept informed. Personnel problems were dealt with within the team. Training of new team members, and cross training of all team members, was conducted by the team itself. According to a Business Week report teamwork sites were 30% to 40% more productive than their counterparts; able to adapt more quickly to changing needs; required 25-30% fewer employees; absenteeism was lower; and product quality was reliability better[14].

THE SUPERVISOR'S ROLE:

Prior to discussing recommended structural changes, it is important to review the changes among the supervisors. First-line supervisors are identified as "critical mass" individuals, as a whole, who have a significant stake in the outcome of empowering line personnel. Empowering line employees, and concurrently increasing their influence over the organization's attainment of its mission and the methods of how it conducts its work, may prove threatening to supervisors: many of who are tenured and 'comfortable' in their daily activities. Instituting significant change in the supervisor's role will require tremendous effort involving the incumbent supervisors in identifying and providing training -- in how their roles will be altered.

> "Of all the changes that come with self-directed work teams, the new roll of the supervisor is perhaps the greatest challenge. Having self-directed work teams does not mean that the role of the supervisor is eliminated, or even diminished -- it is enlarged. It means changing the traditional supervisory role to that of a 'coach' who develops the potential of all the team members."[15]

The traditional responsibilities of the first-line supervisor included: assign jobs; set schedules; prepare plans; obtain supplies and equipment; make corrections; make adjustments; monitor quality assurance; perform operation maintenance; prepare production reports; perform

safety inspections; etc.. The 'so called' traditional responsibilities of the employee included: perform tasks of the job assigned by the supervisor. With self-directed work teams the employee would include those previously held by the supervisor. The supervisor's new responsibilities would include: communicating; coaching; coordinating; supporting; enabling; training; clarifying; listening; planning; delegating; reinforcing; etc.[16]

In a 1994 study on Community Policing from the National Center for Community Policing, Michigan State University, 33.7% of first-line supervisors resisted changing to the philosophy.[17] The change to self-directed teams creates added anxiety for supervisors. Many wonder if the change will result in their loosing their jobs, and others will be concerned about the removal of any supervisory, or career ladder, positions. Management must exert energies to counter these fears: to assure employees that employees will not be loosing their jobs, but they will be conducting business differently.

The supervisor's role with regard to enhancing communication includes the following tasks: maintaining regular one-on-one contact with team members, providing feedback, maintaining an open door practice, facilitating regularly scheduled team meetings, keeping team members informed of organizational decisions, holding communication meetings, etc. By taking a proactive stance against poor communications the supervisor takes affirmative steps to provide positive open communications within the team, and the organization.

As the supervisor assumes the role of coordinator there are a number of tasks which require attention. These include: getting the team to solve the problems on its own; resolve any internal conflicts effectively; reward positive performance; encourage team members to openly discuss problems; ask the team to propose solutions -- people promote what they create; encourage the team to establish performance goals; encourage team self-evaluation; train; and, be a resource to the team.[18]

Management wishing to introduce self managing work teams must first prepare the first line supervisory ranks for the changes with their 'traditional' roles. Some organizations encountering continual resistance from some supervisors changed the supervisors job to that of a full time trainer. Most supervisors who exhibit resistance to change have had extensive experiences which are valuable learning for newer employees.

"Leaders" head teams in production or staff departments, rotate periodically, share power, build consensus. Evaluations are done by peers. Communication, salesmanship, commitment, involvement and participation become the motivating factors.

In policing, self-directed teams can work together and possess full responsibility for the entire spectrum of policing duties within either a geographical area or a time frame. These duties would include not only responsive police services -- in answer to calls for service, but in developing problem resolution strategies with neighborhoods, providing crime prevention efforts, acquiring requisite supplies and materials, scheduling, training and staffing. Additional tasks to be assigned to the self-directed teams include establishing standards, monitoring adherence to performance standards and achieving objectives, evaluating efforts through peer consensus, collaborating on criminal investigation follow-up, organizing crime prevention efforts, scheduling duty hours and scheduling leaves -- to name a few.

With management establishing clear parameters, providing thorough and quality training, and creating the environment for entrepreneurial risk taking, empowered line level sworn personnel can nurture effective community partnerships and develop innovative and effective problem resolution strategies.

The methods of policing organizations in responding to significant unusual incidents or events would more likely remain traditional; adhering to strict paramilitary command and

control. These unusual incidents include hostage situations, barricaded suspects, contained violent armed robberies, etc.

Advantages to implementing self-directed work teams include:

- • - Improves employee satisfaction and morale;
- • - Establishes employee commitment;
- • - Improves Department effectiveness;
- • - Provides more personalized service to the community;
- • - Increases the rapidity of decision making;
- • - Involves the community in resolution strategies;
- • - Aids in employee development;
- • - Decision making shifts from vertical to horizontal;
- • - Gives responsibility to those closest to the problem;
- • - Reduces the frequency of repeat calls at the same location.

Disadvantages associated with implementing SDWTS follow:

- • - Employees do not readily embrace change, the more radical the change the more reluctance to adopt it;
- • - It is always risky to engage in 'new business';
- • - Potential for City Manager or City Council to eliminate 'rank' positions or 'flatten' organization;
- • - While developing standards, there will be differential service levels provided;
- • - If everyone is in charge, no one is in charge. Initially it will be difficult to assess accountability;
- • - Traditional supervisory practices may impede adoption of new strategy;
- • - In place supervisors will not readily relinquish 'control';
- • - The start up training may be very expensive: employing unusual training styles and techniques;
- • - May be viewed by line personnel as excessively 'touchy feely'.

IMPLEMENTATION PLAN

Implementing self-directed teams promotes substantial change into an organization, and the way a police department conducts business. Properly empowering line personnel will have substantial benefits - to employees and to customers, and at the same time create potential conflict if changing role responsibilities are not clearly communicated. The following is the recommended strategy implementation process.

1. Conduct an organizational assessment. Identify the organization's strengths, weaknesses, most pressing problems, greatest assets, etc. Involve representation from a cross section of the department. Conduct this in a risk free atmosphere to assure thorough input. If necessary involve an outside facilitator.

2. Resolve weaknesses identified in the organizational assessment. Change has to start some place. The previously mentioned organizational assessment of strengths, weaknesses, most pressing problems, etc. aids in focusing energies on change. Not only is the assessment important, but involving employees and keeping the remainder of the organization informed of progress, direction, and timelines contributes to a successful transition.

   This organizational assessment would have more credibility reviewed by an objective outside party. The department could select and contract with a consultant, with exper-ience in this area, to evaluate the assessment and assist in addressing the identified weaknesses.

3. Develop a written policy: a critical element of effective change is a solid foundation upon which to build. The policy should establish the maximum parameters regarding the degree to which management will authorize a line employee to make decisions regarding the expenditure of resources or commitment of funds. Once the clear parameters are cast, management needs to identify and communicate any changes in roles and responsibilities. Policies should be formulated, and parameters clearly established by the department command staff.

   The empowered line employees need to be involved with the establishment of measurable objectives in furtherance of the mission.

4. Encourage employee input and participation: employee participation in organization change is a critical component. Once the parameters are established, the participants need to be identified and prepared for the increased responsibilities. The introduction of Community Oriented Policing, alone, is sufficient change to catch some employees off balance. Empowering employees, changing roles, increasing responsibilities, changing the method that employees will be conducting their business, and granting them greater latitude in conducting their daily tasks can be threatening. Once the policies are thoroughly communicated through the organization, identified line employees and a POA representative need to be enabled to provide input.

5. Implement an orderly, well defined line employee empowerment philosophy: the community has a right to expect a responsive police department. By preparing the employees, training them, identifying the parameters of their increased responsibilities and authority, management will assist the employees with the skills necessary to succeed. Supervisory personnel will also need training. Their role will change and they will need improved skills in employee counseling, coaching, communication, marketing, and even 'cheer leading'. Supervisors will be asked to lessen their traditional control over the daily activities of their subordinates. Community Policing, too, draws upon many non-traditional resources to achieve policing objectives. Preparing employees through phased development will enhance effectiveness.

5. Put an evaluation process in place: Implementing new philosophies, new procedures or new processes should also have some monitoring process included. With change comes the potential for error. By installing a mechanism, process or committee to monitor and evaluate the effectiveness of change, the Department will be able to enhance successes, and quickly identify failures. This is not to exacerbate positive efforts that don't turn out well, but to catch errant efforts and redirect them positively. By encouraging risk taking and creativity in the policing service, there are bound to be some failures. How the Department responds to these will set the tone for future efforts by employees to be creative, try taking risks and innovating.

A well prepared implementation effort will include time lines. With a significant change

in the department's culture and responsibilities, coupled with the department's experimentation with introducing a Community Oriented Policing model, the time frames established should have closure dates - but be somewhat flexible. The following is proposed:

1. Conduct organizational assessment
   Time allowed: Three months

2. Resolve weaknesses identified in organizational assessment
   Time allowed: To six months

3. Develop program
   Time allowed: Three to six months

4. Preparing Department for change
   Time allowed: Six to nine months

5. Implement orderly line level empowerment
   Time allowed: Eighteen to thirty-six months

6. Install monitoring, evaluation process
   Time allowed: Continuously at predetermined time intervals
   (Recommend every 4 months)

Through out the process there will be identified obstacles, and potential obstacles which need to be addressed. Critics may surface if management stumbles in its resolve to implement a true empowerment program. Failure to thoroughly identify pitfalls can contribute to failure. The acceptance, and support, from critical stakeholders will help; they can also sabotage the whole plan. Participation, open communication, vision and value statements, consistency, 'walking the talk', adequate reward systems need be addressed. Rewarding employees who try and fail can be as important as rewarding those who try and succeed. Credibility for the program can be easily eliminated with good intentions surrounded by bad decisions and deeds.

CONCLUSIONS:

A firm commitment by management to fully develop and involve employees will have a positive impact upon policing. As noted above, in the literature scan, the increasing presence of the changing workforce requires managers and leaders to alter the methodology of

conducting business. New employee motivations, including an increased drive to be involved in operations and to have a say in how work is performed, are important considerations leaders must address. Increased employee involvement will lead to increased commitment.

Empowering line personnel will result in quicker decision making, more personalized service to the community, and a closer link between the police and the community. The closer link, manifested in police-community partnerships, will leave the 'customer' with an increased sense of safety, with a sense of involvement and in contributing to the policing of the community. Additionally, by implementing a 'self-directed' team concept breaking down barriers to effective communication will occur. Opening the lines of communication to facilitate effectiveness, and reducing the formality of structure, will improve the rapidity at which change may occur. The ground work necessary to implement these kinds of organizational changes will require significant up front energies, which will 'pay for' themselves in the long term.

The empowered employees will be motivated to provide the best level of service possible through their participation in the processes involved in service delivery and problem resolution. There are rewards of accomplishment and satisfaction of performance through contributing to the forward movement of the organization.

"If you do what you always did, you'll get what you always got!" Change is inevitable, the challenge lies in managing the change. In their book "Managing Workforce 2000", David Jamieson and Julie O'Mara said, "Most of today's workers want and expect to be involved in decision making that affects their jobs."[19] (emphasis added) Policing leaders must recognize and address these changes in the needs of the workforce. Among cultural changes will be: people need be regarded as assets, not expenses. The organization will need to push forward to recognizing employee's efforts, i.e. innovation, creativity, and risk taking, as opposed to the traditional passively following of accepted paths. The internal collaboration

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within a team structure will evolve from the existing competition -- for rewards and recognition, and for specialty assignments. In 1981 a published study determined that 'cooperation promoted higher achievement than competition: and, cooperation was found to promote higher achievement than working independently.[20] Most importantly, there needs to be a substantial commitment to communicating within the organization. Keeping employees informed is a time consuming process, and it is probably the most important element to empowerment. Allowing employees the ability and the authority to make decisions effecting their work needs to be based on access to complete requisite information.

Selecting the best qualified employees and developing them to their fullest potential -- through training, coaching, mentoring etc., provides opportunities. The fiscal realities of the 1990's in many cities has led to the elimination of command positions, the delay in filling command and other positions and, in some instances, civilianizing administrative classifications. Some public agencies have 'downsized' without a systematic effort to prepare employees for the changes. While eliminating promotional opportunities is distasteful for many, the drain of financial resources has often led to the reduction of positions without the preparation necessary for a smooth transition. Involving employees in the procedure, while not necessarily making the result more tasteful, lessens the uncertainty and anxiety associated with 'downsizing'.

The impact upon supervisors poses, perhaps, the greatest potential obstacle to the successful empowering of line personnel. Supervisors who resist change will most certainly resist this change! The first-line supervisors will be challenged to train line employees within their teams to conduct many of the tasks previously traditionally held by supervisors -- evaluations, scheduling, determining how the work is done, and to a great extent to assure quality in service delivery. The needed supervisors skills will have to include positive and reflective listening, communicating, training, coaching, mentoring, and to some extent "cheer

leading". The supervisor who may have served and developed in an environment where correcting mistakes was a significant task will have to regear into allowing employees to 'try and fail' in order to ultimately improve upon individual and subsequently collective performance.

"TEAMWORK IS ESSENTIAL FOR A PRODUCTIVE ORGANIZATION."[21]

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Influencing Issues, Events & Trends

Over seventy separate "Issues that are Most Important to the Future of California Law Enforcement"[4] were compiled by upper and middle managers of California policing agencies in 1993. These addressed areas of concern in several categories: Social, Technological, Economic, Environmental and Political. Any of these could form the basis for a futures study. One oft repeated issue, postulated in several formats, addressed the recruitment and retention of qualified personnel. The labor force is indeed changing- from six perspectives age, gender, culture, education, disabilities and values.

The median age of the workforce is increasing. In 1970 it was approximately twenty-eight and will climb to nearly forty by the year 2000. By the year 2000, 51 percent of the workforce will be between thirty-five and fifty-four; sixteen percent between sixteen and twenty-four; and, eleven to thirteen percent over fifty-five.[5]

More women are entering the workforce than ever before. Women will approach 50 percent of the workforce by the year 2000 -- when six out of seven working age women will be in the workforce. Women have also been entering previously non-traditional positions, and are moving up in their organizations. Between 1975 and 1985 the number of women professionals and managers has increased by 77 percent -- while the number of males in those roles increased by only 6 percent.[6]

In the past white males comprised the dominant ethnic majority. Today many ethnic cultures are represented in the work place. The traditional majority is becoming a minority in many locales, and U.S.-born people of color and immigrants are expected to comprise 43 percent of new entrants to the workforce between 1985 and 2000.[7]

As we are affected by the shrinking of the traditional workforce, a slower rate of labor force growth, and an increase of the nontraditional entrants to the workforce, the mainstreaming of workers with disabilities becomes even more important. In 1990, the Americans with

Disabilities Act was signed into law: this Act bans discrimination against physically and mentally handicapped -- in hiring and promotions, and requires many employers to make special accommodations for disabled employees and customers.

A survey conducted in 1986 by the International City Management Association[8] revealed almost a third of the law enforcement agencies in the United States had experienced budget cuts. Fifteen percent of those agencies responded by laying off sworn personnel and seventy-five percent of the agencies elected not to fill vacancies in positions unrelated to vital services.

A literature scan of issues impacting law enforcement identified Community Oriented Policing as a philosophical model which is influencing "70 percent of municipal police departments."[9] Within most Community Oriented Policing models, police officers' duties change from a 'traditional' orthodoxy with an emphasis on enforcement toward more social problem identification and resolution. Officers work with the community they serve, as partners, in identifying root causes of 'problems' and often develop mutually arrived at resolution strategies -- as opposed to repeatedly servicing the same symptoms.

This trend, identified as Community Oriented Policing[10], is influencing international policing, and has been since the late 1970's. Community Policing has been called "an intangible, though constant, philosophy and mindset."[11] Community Policing is defined as "a philosophy, management style, and organizational strategy that promotes pro-active problem solving and police-community partnerships to address the causes of crime and fear as well as other community issues."[12] But this is not a treatise on Community Oriented Policing. COP is introduced as a policing philosophy with as many models as there are agencies employing it.

Law enforcement is facing a significant transition of its workforce. In the mid-1960's there was much attention and financial support for improving the national policing discipline: i.e. The President's Commission on Law Enforcement and Administration of Justice, the Kerner Commission, the Commission on Civil Disorder, the Law Enforcement Assistance

Administration (L.E.A.A.) and the Law Enforcement Education Program (L.E.E.P.). In addition, the Comprehensive Employment and Training Administration allocated moneys to smooth the transition of, among others, military personnel to gain experience and training in the public sector. This contributed to bolstering the law enforcement ranks. Those individuals comprising that growth of the 1960's and 1970's are retiring from law enforcement in the 1990's resulting in a significant workforce turnover. The available labor pool of desirable candidates is largely from a generation called the "twenty-somethings" or "Generation X". The "twenty-somethings" are defined as those Americans who were born between 1961 and 1981.[13]

This new workforce is bringing a new style to problem solving and politics that is typical of their generation.[14] This characteristic can be addressed through a systematic and deliberate effort by management and administration to empower the employee -- the line officer in medium-sized law enforcement agencies. The level of empowerment would be determined and parameters established which define the degree to which officers would be authorized to join with members of the community served in order to achieve resolutions to problems: be they fear reduction, order maintenance, or quality of life issues.

The empowerment of line level employees is yet another trend influencing police organizations in the United States, and world wide. Empowerment is the sense that one has the power to make the necessary decisions affecting the major aspects of one's work.[15] William Byham says that empowerment is that psychological energy that activates us.[16] Byham also says that empowerment helps employees take ownership of their jobs and improves performance. Greater decision making discretion is being moved to lower levels with greater frequency in policing, and in private sector organizations. An emphasis is being placed upon management's role to clearly define the organization's mission and the workforce is provided the latitude as to how to achieve the mission.[17]

The following study paper will examine the potential impact of three converging trends: the reduced availability of fiscal resources in the public sector, specifically for law enforcement;

second, the emergence of empowerment of line personnel; and third, the emergence of some form of Community Oriented Policing philosophy in law enforcement agencies -- and more specifically in those medium sized organizations with anywhere between twenty-five and one hundred and ninety nine employees, which comprise approximately 60% of the policing agencies in California.[18]

Issue & Sub-issues

The core study question is, "What will be the effect of empowering line officers within a medium sized police agency,?" Identified sub-issues to be examined for this study include:

1. How will empowered line level employees effect organizational culture?

2. How will empowering line employees effect the organization's structure?

3. What will be the role of the supervisor with empowered line level employees?

Study Format

This study will be presented in a formalized structure. The introduction will be followed by a literature scan on the issue and sub-issues stated above. There will be a section of potential future scenarios which develop from possible future events which would impact the issue generated through a Nominal Group Technique - a group comprised of upper management law enforcement professionals, an assistant city manager, line level police officer, and a municipal finance director.

The next section will include a strategic plan for moving a medium sized policing organization with Community Oriented Policing into empowering its line personnel. There will then be a section with a transition management plan. This will be followed by a section of summary and conclusions.

The setting for this study is the Milpitas Police Department. The City was incorporated in 1956. The Department is mid-sized servicing a community of over 56,000 residents. The city includes a business park which comprises the eastern corner of the so-called 'Golden Triangle' or 'Silicon Valley' - a substantial concentration of 'high tech' corporations whose principle products address the rapid processing of, and facilitating access to, large amounts of electronically stored information. The residential areas' housing price range from low income to affluent. In 1994, aggressive commercial development of over 220 acres - including a 1.5 million square foot mall, contributed substantially to an already sound economic base. The Department is in the process of adopting a department-wide Community Policing philosophy. The community has warmly received the initial efforts.

During the strategic planning process for this study a micro-mission statement was developed by the author for the purpose of providing direction on the issue to the department. This micro-mission statement appears in the Transition Management section.

In addition to the micro-mission statement, a WOTS-UP analysis and a 'stakeholder' analysis were conducted. Through a Modified Policy Delphi process, involving middle management law enforcement personnel from the POST Command College, alternative implementation strategies were generated and analyzed. The agreed upon as most desirable of the alternative strategies, in furtherance of the study topic -- the impact of empowering line level employees within a medium sized police department, was to "Implement self-directed work teams."

SECTION TWO: A FUTURE STUDY

A Future Study on Empowering

the Line Officer in a Medium Sized

Policing Agency by the Year 2004.

Futures Study Issues Development

The concept of futures issue research stems from a developmental program through the State of California Commission on Peace Officer Standards and Training: the Command College. The POST model evolved from futures research out of the University of Southern California, The Rand Corporation, and other 'think tanks'. During the POST program participants are instructed on a futures research process associated with defining the future and then in identifying futures issues.

A literature scan consisting of review of professional journals, weekly news magazines, professional publications, a futures magazine and newsletter, and a number of daily newspapers focused on trends and events categorized employing the S.T.E.E.P. method. The STEEP system is used to categorize items in separate areas: Social, Technological, Economical, Environmental, Political,. These are further subdivided into sections based upon geographical influence: i.e. local scope, regional scope, statewide, national, international, and the author included one additional section based upon the Pacific Rim countries.

From the professional publications it became readily apparent that there was a trend marking a movement for over twenty years in which a growing number of law enforcement agencies have been adopting a philosophy of policing which is called a number of things, mainly Community Oriented Policing[19] (COP). Similar policing programs have been named: Problem Oriented Policing (POP)[20,] Neighborhood Oriented Policing[21], Police Assisted Community Enforcement (PACE)[22], Police and Residents Immobilizing a Dangerous Environment (P.R.I.D.E.)[23], Directed Area Responsibility Team (DART)[24], and Citizen-Oriented Police Enforcement (COPE).[25] There is substantial written material which notes that by 1993 there was a significant movement from a traditional orthodoxy - enforcement-oriented law enforcement, to this philosophy called community oriented policing[26] In a November 21, 1993 article a survey referenced by the director of the National Center for Community Policing,

Robert Trojanowicz, showed "that some form of this practice is now in use by 70 percent of municipal police departments."[27] The following chart depicts the evolution of American policing from the mid-nineteenth century through the 1990's:[28]

Illustration #1:

Political Era	→	Reform Era	→	Community Problem Solving	→
	Progressive Period		Command & Control		
1840's	1900's	1930's	1950-60's	1970's	1990's
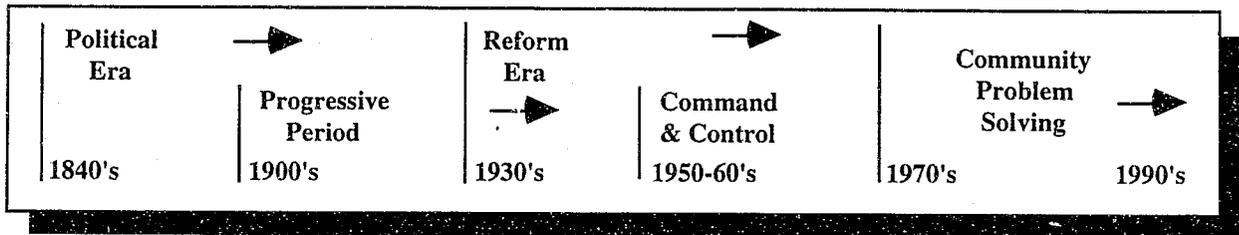
The Evolution of American Policing

A perusal of various management or leadership texts, specifically "Theory Z" by William Ouichi, reveals that the concept of empowering the workforce will lead to a greater degree of commitment.[29] A survey of Arizona police managers and supervisors completed in 1982 revealed that employees are "highly supportive of a participative model."[30] In the national best selling book, "Reinventing Government", by David Osborne and Ted Gaebler, there is reference to a revelation that came to Air Force General W. L. (Bill) Creech: "people work harder and invest more of their creativity when they control their own work."[31]

Defining The Issue

Following the literature scan the issue question was identified: WHAT WILL BE THE EFFECT OF EMPOWERING LINE OFFICERS WITHIN A MEDIUM SIZED POLICE AGENCY BY THE YEAR 2004? [Note: "Medium" sized agency is used to identify agencies with a total number of employees between 25 and 199.] Based upon this topic, a group consisting of middle and upper police managers, who were Command College class members,

were involved in a brainstorming exercise to create an issues related future wheel. Participants consisted of:

Commander Edward Piceno.................................Santa Barbara County Sheriff Department, and later, Chief of Police Services, for the contract city of Carpenteria;

Lieutenant Joseph Latta..Administrative Services Division, Burbank Police Department;

Captain Ronald Hunt...Investigative Services Division, Fremont Police Department;

Lieutenant Del Hanson ....Administrative Services, Woodland Police Department;

Lieutenant Randy Sonnenberg...............................Field Services Division, Foster City Police Department; and,

Commander Dan Watson,......................................Administrative Services - Personnel, Los Angeles Police Department.

During this 'Futures Wheel' brainstorming process several sub-issues were identified as related to and with potential impact upon the above noted issue statement. There were at least six related sub-issues, including:

1) How will empowering line officers effect the supervisors role?;

2) What type of training will be required to effectively empower line level employees?;

3) Will empowerment at the line level increase the organization's liability exposure?;

4) How will empowered employees impact the recruitment of new personnel?;

5) What will be the effect of empowering line employees upon organizational culture?;

6) How will evaluation instruments be modified and used to maximum benefit?

The ideas generated, and the questions raised were instrumental in the formulation of the final issue question, and in the development of the sub-issue questions. This 'Futures Wheel' session is a method employed to examine an issue and identify secondary, or sub-issues, and tertiary - or lessor issues, in a hierarchy to aid in selecting those most relevant to the issue. The author selected the final sub-issues from the futures wheel session, and reworked the questions to specific sub-issues most directly related to the futures issue.

A Community Oriented Policing philosophy, in some form, as previously noted, is being integrated into a majority of police departments. The author took guidance from the comments in

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the literature which addressed the effect upon supervision: the supervisors need to be supportive of, and not obstacles to, organizational change. In the Command College instruction, and materials, considerable time is devoted to the concept of organizational culture. This added impetus to include this sub-issue. The author, too, believed that empowering line level employees would have a high probability of impacting the organizational structure. Some literature addresses an impact upon organizational structure resulting from implementation of Community Oriented Policing -- noting some adjustment is generally necessary. Under Community Policing models, organizational structure may shift from centralized and specialized to decentralized and generalized.[32] It was then decided to include the training component as a means to tie the futures issue and the identified sub-issues into a comprehensive study.

The completed Futures Wheel follows:

Illustration #2: Futures Wheel:
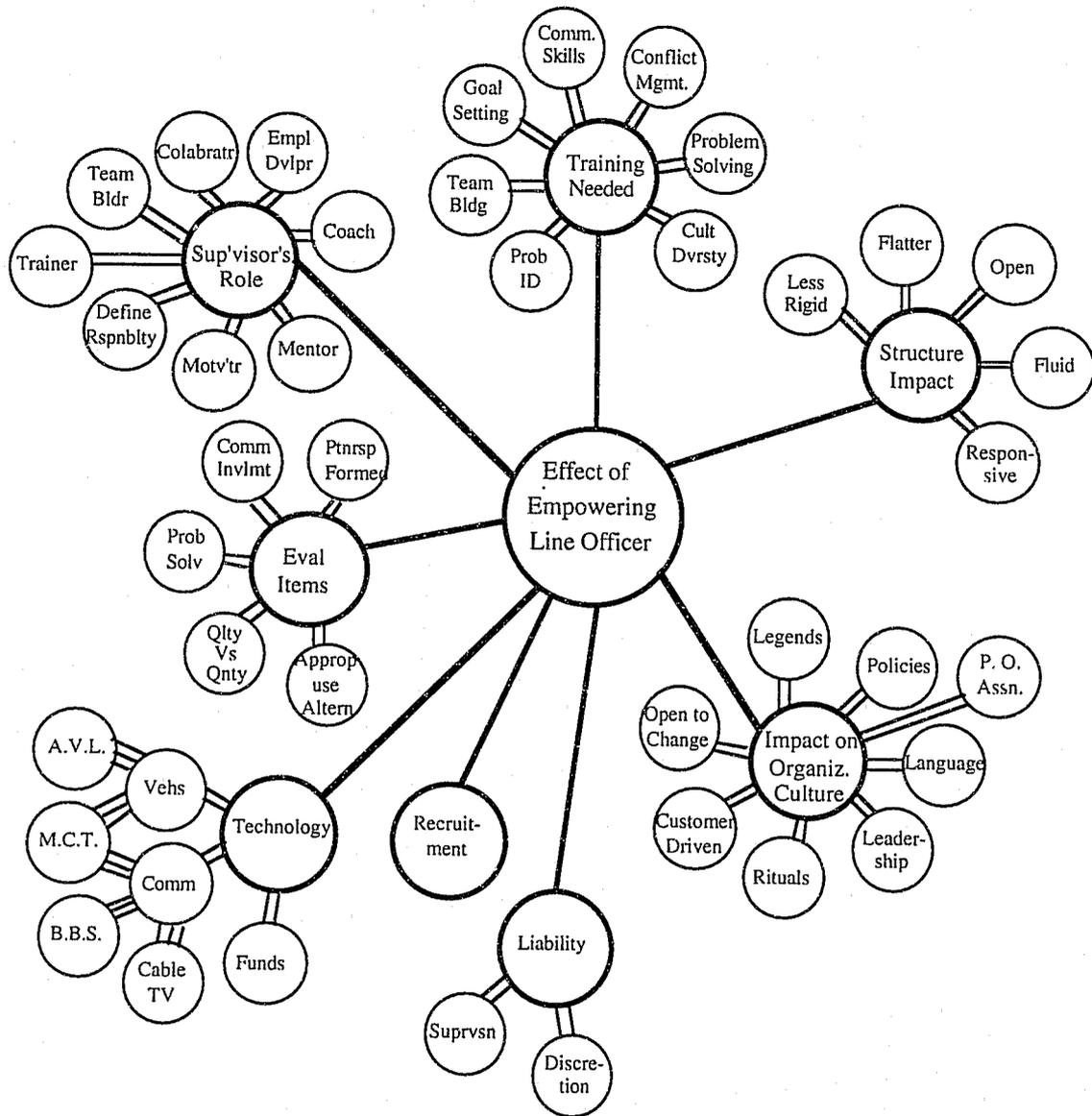
Some abbreviations used in the above illustration may need further explanation. A.V.L. refers to Automatic Vehicle locator -- a radio frequency vehicle tracking technology. M.C.T. addresses the Mobile Computer Terminals which provide electronic access to data bases through radio technologies. B.B.S. abbreviates Bulletin Board Systems -- an electronic "information and message-passing center for users dialing up over phone lines through the use of modems" and computers[33].

The Nominal Group

A Nominal Group Technique was employed to aid in advancing this futures research. The Nominal Group Technique is a small group technique for achieving acceptable consensus on the answer to a question by a process that alternates private work and open group discussion.[34] A panel consisting of 'stakeholders' and experts was invited to a meeting to identify trends and events which could impact this futures issue: and then to forecast a selected list of the ten most likely or ten most significant trends and events. (Appendix A)

The NGT Panel consisted of the following members:

Mr. Anthony Constantourous, Ass't. City Manager, City of Milpitas, Ca.
Mr. Constantourous was selected due to his position with the City of Milpitas. He has been involved with City-wide strategic planning, and with supporting the intra-Departmental efforts associated with the Milpitas Community Policing efforts.

Mr. Lawrence Sabo, Finance Director, City of Milpitas, Ca.
Mr. Sabo holds B.A and M.A. degrees in the Administration of Criminal Justice. He had seven years of experience in policing. He has been recognized for his fiscal knowledge and policies. He is supportive of police involvement with the community, and offers a more socially conscious perspective.

Captain Ronald Hunt, 'Fremont Police Dept., Ca.
Captain Hunt is a Division Head, responsible for the investigative function of that agency. He is a Command College participant, and offers an objective outside perspective.

Chief Patrick 'Kip' Rolle, Atherton Police Dept., Ca.
Chief Rolle holds B.A. and law degrees, and is an innovative leader. He has been involved in developing his employees, involving them in the decision making process, and he believes in the principles of empowerment. Chief Rolle has been a 'change agent' for his department and for his community.

Chief J. Frank Acosta, Milpitas Police Dept., Milpitas, Ca.
Chief Acosta holds B.A and M.A. degrees. He rose through the ranks to Asst. Chief with one police department, and held the Chief's position with two others. He was leading the M.P.D. into the transition to a localized model of Community Oriented Policing

Captain Kenneth W. Petersen, Milpitas Police Dept., Milpitas, Ca.
Capt. Petersen is the Field Services Division Captain. He holds B.A. and M.A. degrees. He is a Command College graduate, a published author, is involved with the C. O. P. Task Force, and has demonstrated himself to be a 'change agent'. He is supportive of employee empowerment concept.

<u>Lieutenant Gregory W. Lawrence, Milpitas Police Dept., Milpitas, Ca.</u>
Lt. Lawrence holds a B.A. degree. He is a Patrol Watch Commander. He has been the Community Relations Sergeant and was involved with Police Community Relations specialty assignments intermittently since 1973.

<u>Police Officer Jaemie Herrada, Milpitas Police Dept., Milpitas, Ca.</u>
Officer Herrada has been employed as a police officer for three and one-half years, works a Patrol assignment, and provides a line employee perspective. She holds a B.A. degree in Admin. of Justice and has been supportive of, and involved with, the move toward Community Policing.

Trends:

Prior to the nominal group exercise, the participants were provided information on the process, definitions, and examples of both trends and events.. On the day of the group exercise, they were given time to silently generate individual lists of trends. The group members were then asked to provide their trend to one of two scribes; this process resulted in the recording of over sixty trends. (See <u>Appendix A</u>.) Following discussion about them, a voting process was instituted to identify the ten trends - with the consensus of the panel's opinion as having the greatest potential impact upon the futures question. The selected trends appear below:

Nominal Group Panel's Prioritized Trends

T-1: Level of first line supervisors acceptance and support of C. O. P. This trend tracks the amount of acceptance and support the supervisory personnel provide to the overwhelming growth of the COP philosophy within the policing profession: and, through extension, their support of the concept of empowering line level employees with having greater control over their work and over their influence over the organization. Supervisors who do not support the concept will present strong obstacles to the development of officers and their empowerment.

T-2: Level of Citizen Involvement. There was animated discussion regarding the amount of participation that the police have allowed the community to have relative to policing issues. For years it was felt that the police knew what the public wanted and what was best for them. This trend is tracks citizen involvement and policing's acceptance of the change.

T-3: Amount of information technology employed in law enforcement. It is generally accepted that the global community has been involved in an Information Age for some time now. With

the miniaturization of the computer, the ready availability of portable machines, the rapid advances made in information technologies and the reliance of information in decision making, this trend is deemed significant to the study issue.

T-4: Level of line personnel commitment to Community Oriented Policing. There are many success stories regarding the introduction of COP into municipal policing. However, the front line service delivery mechanisms - the police officer, is an essential component of any successful program. Therefore, the line acceptance and commitment to COP is a requisite component to success of not only COP but also of empowering the line level employees.

T-5: Level of funding. The funding of the policing function of municipal services is a significant factor in the level of service and the quality of service which policing entities provide. Strategies are specifically funded in a program budget. Providing adequate fiscal resources to the police is a critical element in not only policing, but in developing quality effective partnerships, and in supporting the efforts of line personnel in furtherance of the mission of the policing profession.

T-6: Amount of City Council support for Community Oriented Policing. While policing leaders may be able to innovate to some degree with only limited support of the governing bodies: substantial support in terms of backing, financial resources, supporting inter-departmental cooperation is necessary for the police leader to accomplish and achieve. The Council, too, must be willing to weather the difficulties that arise while enduring the ambiguities of transition.

T-7: Level of commitment to participative management. This trend beings into perspective the changes in the roles of supervisory and managerial staff. To empower line personnel requires those with power and authority to delegate it to those who are closest to doing the actual work. This concept is promulgated in most contemporary literature regarding teams and empowerment.

T-8: Amount of change in demographic composition. There has been much change over the past thirty years. With many migrations within the country -- i.e. South to North, rural to urban, and towards the metropolitan coasts, and immigrations from outside -- from Mexico in both legal and illegal fashion, from Asia, from Haiti and Cuba, and from Europe and Africa, the ethnic composition of society has undergone a radical change. There is current focus upon the politics of inclusion -- of women, of the aging population, of those with identified disabilities, etc. Municipal entities are expected to maintain relative representation within their workforces.

T-9: Length of emergency incident response times. Many policing entities have rated themselves on their ability to respond to emergencies within a few minutes. With the acceptance

of COP, and the altering of roles of the police and their communities, response times are being questioned as a valid measure of effectiveness. Policing leaders portend quality and effectiveness are more important than quantitative measures. Making the break with this tradition will be a challenge: supporting the effects of potential increases in response times -- to even critical or emergency incidents, is a real challenge indeed. Employee discretion may further exacerbate the response times to not only routine but also emergency incidents.

T-10: Level of commitment of Chief Of Police to Community Oriented Policing. Police chiefs must wear many hats and assume many roles. Finding the balance that sufficiently promotes the best qualities of COP and at the same time addresses the needs of the community, the needs and desires of the workforce, the political realities of municipal service and the essential activities of the true leader forces the Chief to make many decisions. The amount of support of the Chief to COP, the establishing of the community policing partnerships and the supporting of the line employee empowerment to put the plans into effect are critical to success.

After the ten most significant trends were identified the panel was asked to forecast them. Using the present as a base of one-hundred (100), each panel member was asked to identify where they each saw the trend five years previously. They were then asked to identify where they saw the trend going five years in the future, and again ten years in the future. The results of that forecasting process follow: first in Chart #1 Trend Evaluation Chart, followed by a graphic representation of the results of the forecasting.

Chart #1

TREND EVALUATION CHART

TREND STATEMENT	LEVEL OF THE TREND (Today = 100)			
	5 Years Ago 1988	TODAY 1993	5 Yrs. From Now 1998	10 Yrs. From Now 2003
1. Level of First Line Supervisor's Acceptance / Support of Community Oriented Policing	Hi 80 Me 50 Lo 25	100	Hi 200 Me 130 Lo 75	Hi 500 Me 170 Lo 100
2. Level of Citizen Involvement	Hi 110 Me 50 Lo 10	100	Hi 300 Me 140 Lo 90	Hi 500 Me 160 Lo 90
3. Amount of Information Technology Employed in Law Enforcement	Hi 75 Me 40 Lo 25	100	Hi 500 Me 200 Lo 120	Hi 1000 Me 300 Lo 100
4. Level of Line Personnel Commitment to Community Oriented Policing	Hi 90 Me 60 Lo 10	100	Hi 200 Me 150 Lo 110	Hi 400 Me 200 Lo 100
5. Level of Law Enforcement Funding	Hi 125 Me 110 Lo 50	100	Hi 200 Me 100 Lo 80	Hi 400 Me 120 Lo 100
6. Amount of City Council Support for Community Oriented Policing	Hi 100 Me 75 Lo 50	100	Hi 200 Me 175 Lo 90	Hi 500 Me 200 Lo 100
7. Level of Commitment to Participative Management	Hi 90 Me 50 Lo 25	100	Hi 200 Me 150 Lo 100	Hi 200 Me 180 Lo 100
8. Amount of Change in Demographic Composition of Community	Hi 100 Me 75 Lo 50	100	Hi 200 Me 150 Lo 100	Hi 400 Me 200 Lo 100
9. Length of Resp. Times to Emergency Incidents	Hi 150 Me 110 Lo 80	100	Hi 200 Me 100 Lo 80	Hi 200 Me 100 Lo 50
10. Level of Commitment of the Chief of Police to Community Oriented Policing	Hi 90 Me 50 Lo 25	100	Hi 200 Me 150 Lo 100	Hi 200 Me 180 Lo 100

N = 8   Hi = High Range   Me = Median   Lo = Low Range

TREND 1: Level of First Line Supervisors Acceptance and Support of Community Oriented Policing.

Illustration #3

Trend #1
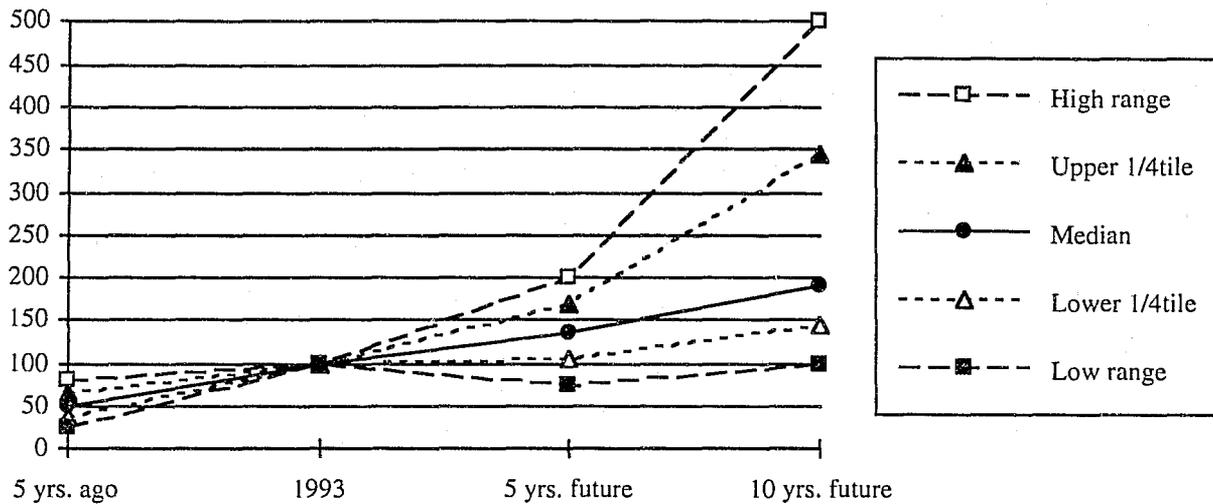
The panel concluded that there is a significant need to have supervisor's support for Community Oriented Policing to be successful, and for there to be an empowered workforce. This support would most likely increase with a solid understanding of the particular model of COP to be applied to a specific agency, and with sufficient reinforcing training to aid the supervisors with their subordinates - and with the changes which would occur to the supervisor's role, and to the organization's culture. As noted in the chart for this trend, the group's forecasting ranged from guardedly positive (low range) to highly optimistic (high range). The panel's median forecast indicates that the level of acceptance will increase slowly between 1993 and 1998, an then increase more rapidly in the following five years.

TREND 2:   Level of Citizen Involvement.

Illustration #4
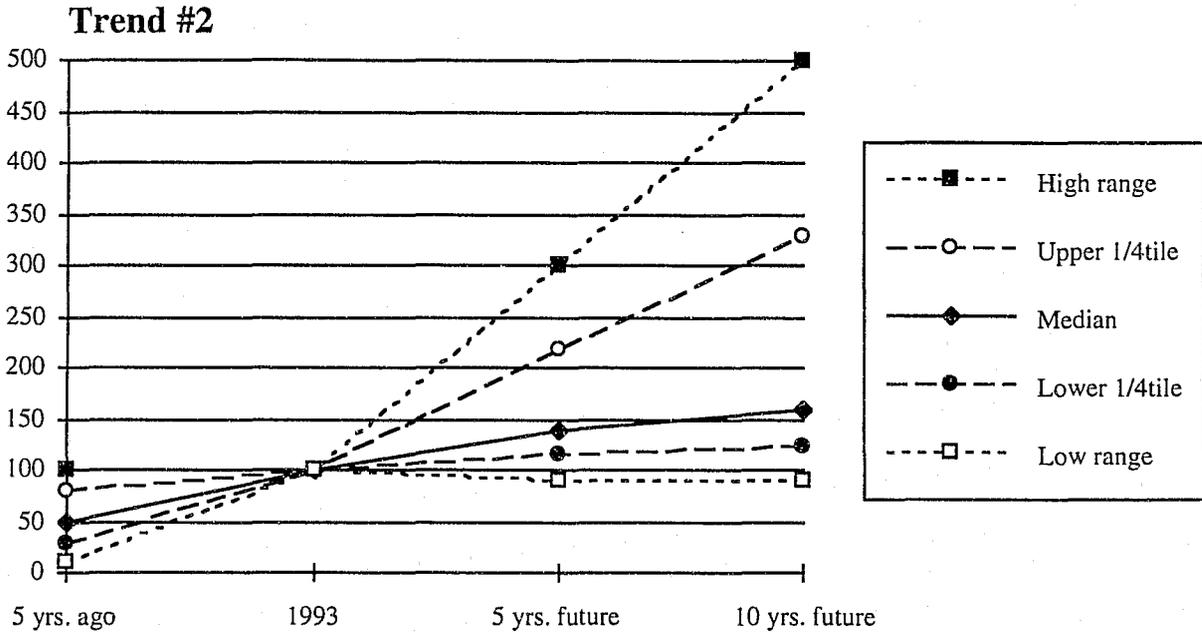
Trend #2

It is interesting to note that there was such wide range of potential forecast for this trend. Most NGT participants felt that there had not been much community involvement with the police operations in the past, and that C.O.P. would involve 'the customer' to a greater extent. This theme is repeated in much of the literature. The high range forecast proposes a substantial increase in community involvement in police operations through the defined interesting future - for at least the next ten years. Even the low range to median forecast expects a tripling of community involvement in police operations over the next ten years, through C.O.P. A highly supported environment for employee empowerment toward establishing and building community partnerships dedicated to problem resolution allows and encourages enhanced de facto citizen involvement.

TREND 3: Amount of Information Technology Employed in Law Enforcement.

Illustration #5

Trend #3
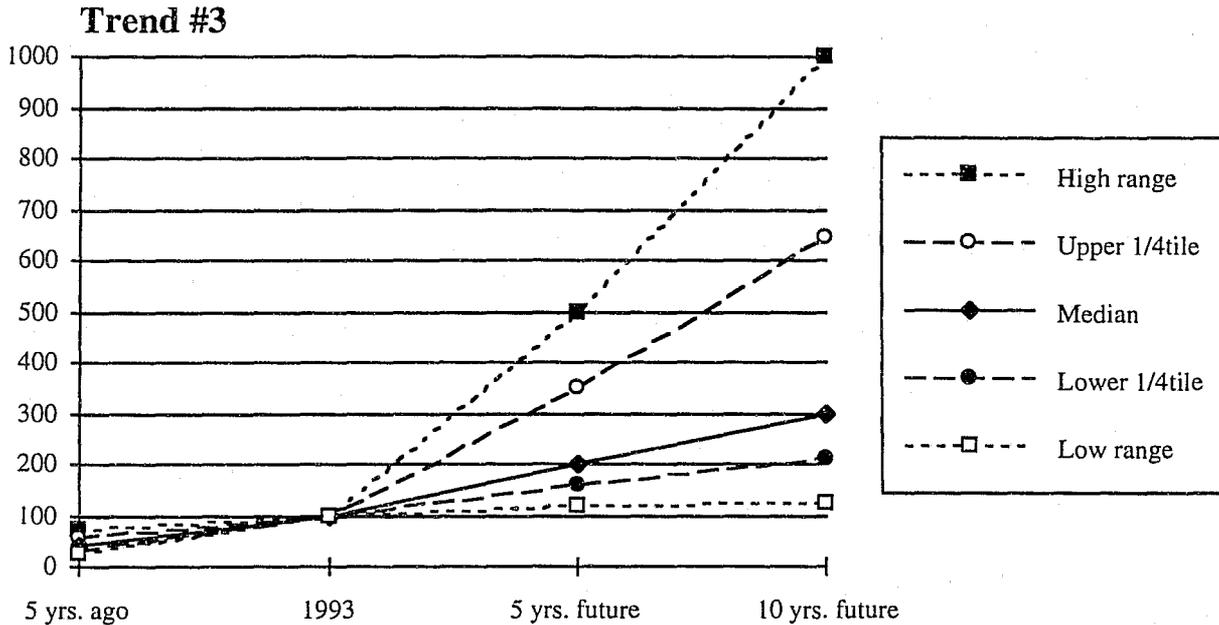
Inasmuch as better information will result in better decisions, it was determined that information technologies would be more available, and more necessary, in the future than today. To what degree, or to what extent these technologies would be available for medium sized policing agencies, would be a function of funding available for, and dedicated to, financing information technologies. In addition, decisions will need to be made which will place a higher priority upon information technologies than on other items of desire or necessity. If indeed 'information is power', then an empowered workforce will need enhanced access to information: the types stored in automated data bases, or in computerized records management systems, and in greater access to, and influence upon, the policy and process decision making systems.

Illustration #6

Trend #4
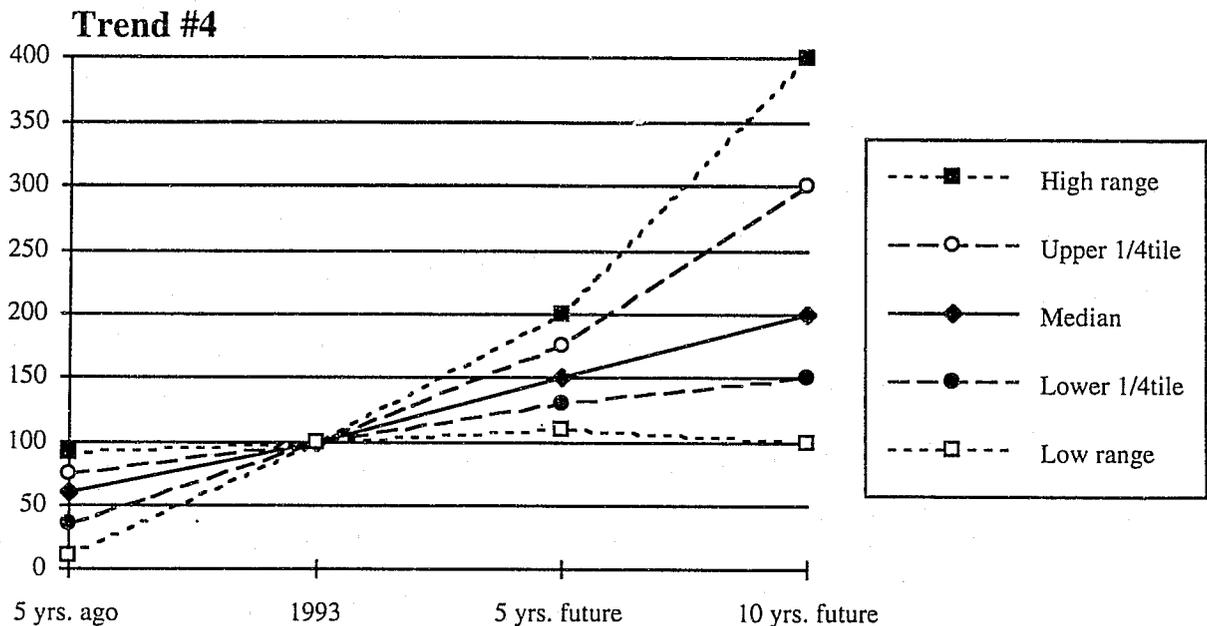
One article states that about 70% of law enforcement agencies practice some type of community oriented policing strategies.[35] The NGT panel was varied as to the past five year history relative to line personnel's commitment to C.O.P. strategies. The median line suggests that there has been a doubling of commitment and support by the street officer to C.O.P. over the past five years, and will experience a near doubling again over the next ten years. The high range, and the upper quartile forecasts an enthusiastic three to four hundred percent increase over the next ten years. These NGT participants are firm supporters of, and believers in, C.O.P. as the definitive driving model for the future of policing. The low range – the apparent 'flat line', was not against C.O.P., but rather more believing that C.O.P. 'is nothing new, it is what we've been doing.'

TREND 5:   Level of Law Enforcement Funding.

Illustration #7

Trend #5

| | 5 yrs. ago | 1993 | 5 yrs. future | 10 yrs. future |

Legend:
- ---■--- High range
- ---○--- Upper 1/4tile
- ---◆--- Median
- ---●--- Lower 1/4tile
- ---□--- Low range
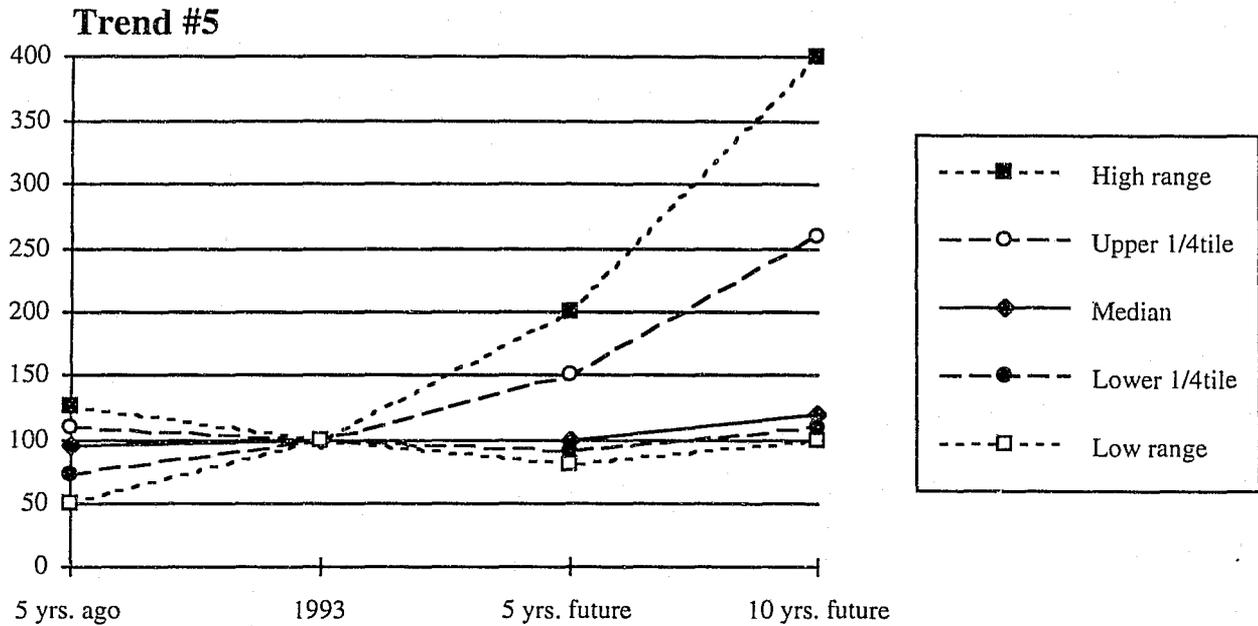
This trend was among the more interesting. Six of the NGT participants were from one city where there was substantial commercial -- revenue generating, growth in progress: a 1.5 million sq. ft. shopping mall, a 55 acre 'market place' development, and a potential 2,000 additional residential dwelling units. The revenue generating figures were openly discussed, and published, and the City Council had given approval for construction on two of these three major projects. These developments would have a definite impact upon city services, and the city's ability to finance added personnel; the extent of growth was still undetermined but the possible opportunities are substantial. The lower end forecasts may have been influenced by participants from communities were there was limited growth, and limited financial resources. The more optimistic panel members -- high range, suggest a substantial increase in police funding over the next ten years: the median forecast is far more conservative. The panel median forecast is for steady funding for five years, followed by slow growth over the next five years.

TREND 6:   Amount of City Council Support for Community Oriented Policing.

Illustration #8

Trend #6
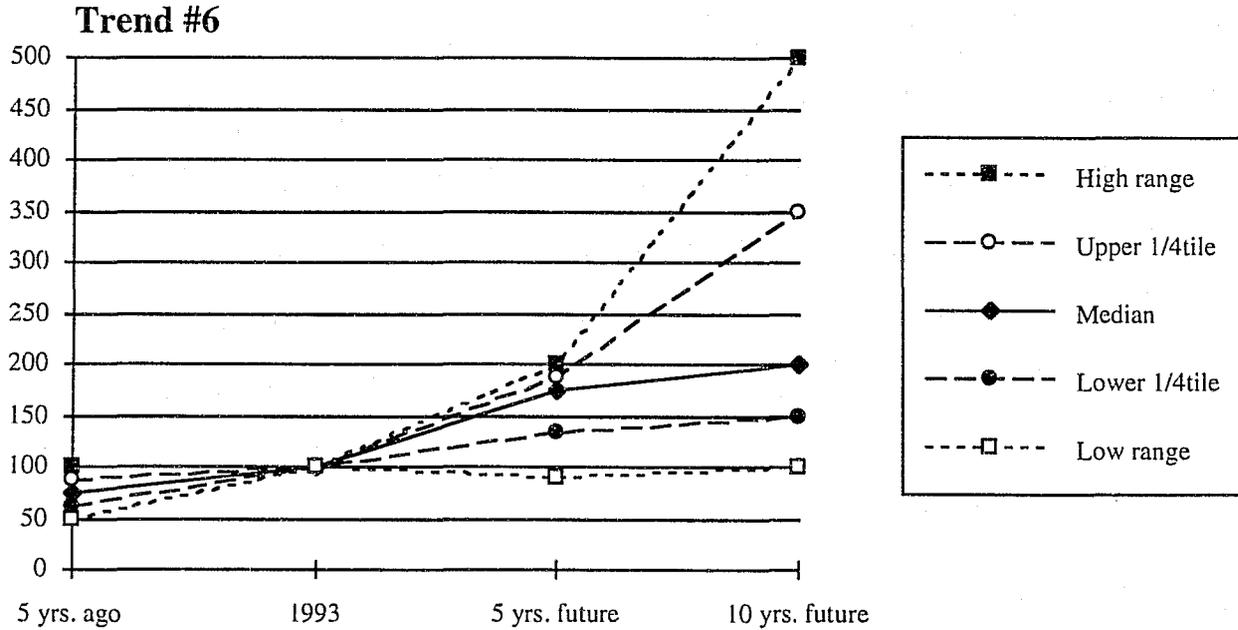
While the literature scanned has been without comment that specifically addressed city councils' support, or lack thereof, for C.O.P., it has been this author's experience that agencies shifting their policing modality from enforcement oriented to being more customer-driven have informed and involved their governing bodies; and, need their support for the change. It was the nominal group's forecast that City Council support would increase steadily over the identified ten year future. The identified successes of C.O.P. - specifically citizens' reduced perception of fear[36], are such that elected officials lend their support to whatever extent that they can. The high range forecast was very optimistic, the median range was still a doubling - indicative of a belief that the governing bodies would continue their support, and to a greater extent - by a factor of two over the next ten years as compared to today.

TREND 7:   Level of Commitment to Participative Management.

Illustration #9

Trend #7

Legend:
- - - ■ - - -   High range
- - ○ - -   Upper 1/4tile
——◆——   Median
- - ● - -   Lower 1/4tile
- - - □ - - -   Low range

Y-axis: 0, 25, 50, 75, 100, 125, 150, 175, 200

X-axis: 5 yrs. ago   1993   5 yrs. future   10 yrs. future
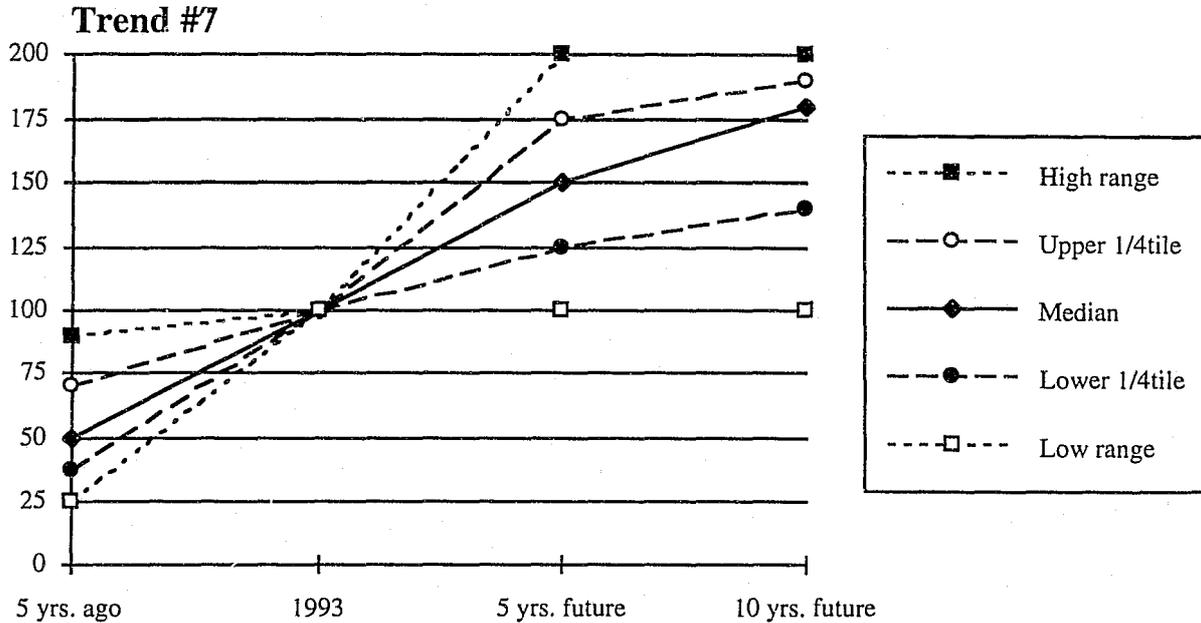
The nominal group saw this trend as an essential component of empowering line level employees within a C.O.P. agency. In 1985 John Naisbitt wrote,

> "...as the workforce becomes more educated and sophisticated, hierarchical management from top down will have to be replaced by a participative system...".[37]

Discussions within the panel revealed that there has been some movement toward empowering line employees, based in part upon C.O.P. and in part upon motivating the new work force.[38] The movement toward empowering line personnel has begun. However, within the policing profession there has not been noted a requisite cultural change nor altering of supervisors' roles to any significant extent. This will be addressed later as strategies are identified and discussed.

The panel's median forecast sees a 50% increase of commitment toward participative management in the next five years, followed by nearly as much growth over the following five year period.

TREND 8:   Amount of Change in Demographic Composition of Community.

Illustration #10

Trend #8

Legend:
- High range (■)
- Upper 1/4tile (○)
- Median (◆)
- Lower 1/4tile (●)
- Low range (□)

X-axis: 5 yrs. ago, 1993, 5 yrs. future, 10 yrs. future
Y-axis: 0 to 400
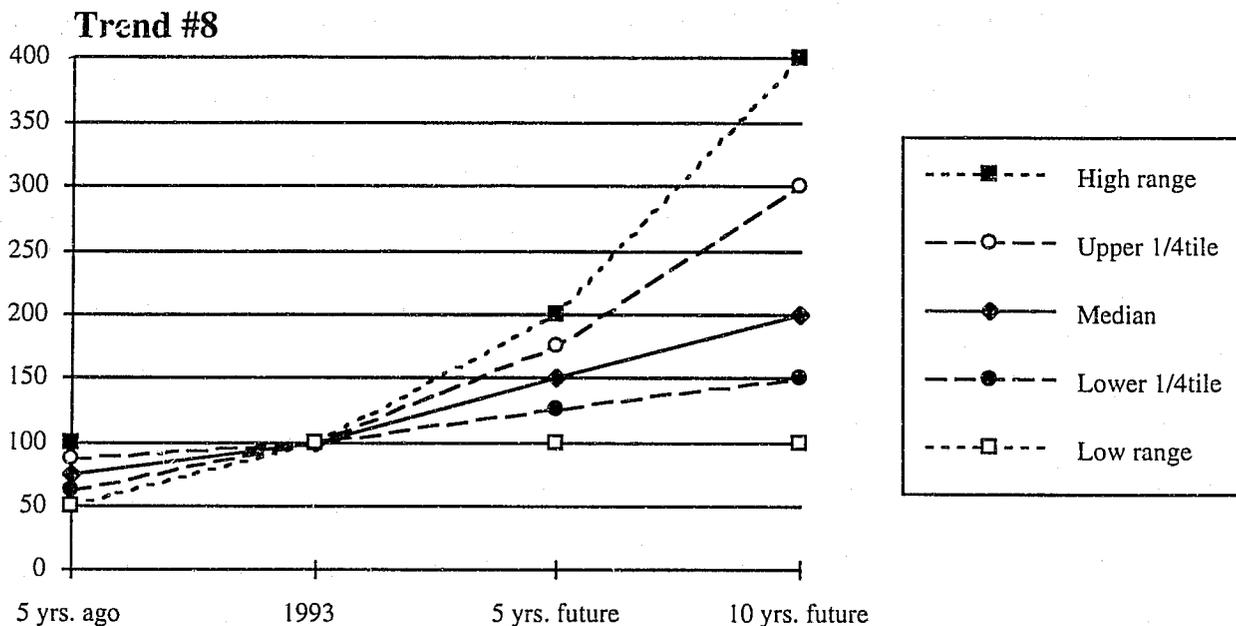
Policing agencies are very aware of diversity workforce issues today. As a result of many forces - civil litigation, the 1990 census, individual rights organizations, special interest groups and others, workforce diversity issues are openly discussed and addressed by managers and administrators. The nominal group participants discussed how the diverse workforce issues had some impact upon their agencies, and within the profession. In the 1990 federal census, new ethnic groups had been specifically identified.

The study city -- Milpitas, California with a population 56,000, was identified in an April 10, 1991 article in the Los Angeles Times as being one of the two most ethnically diverse cities in the country. There are both substantial changes in the demographics of communities, and in the awareness of government in trying to meet the varying needs within these rapidly changing communities.

TREND 9:   Length of Response Times to Emergency Incidents.

Illustration #11

Trend #9
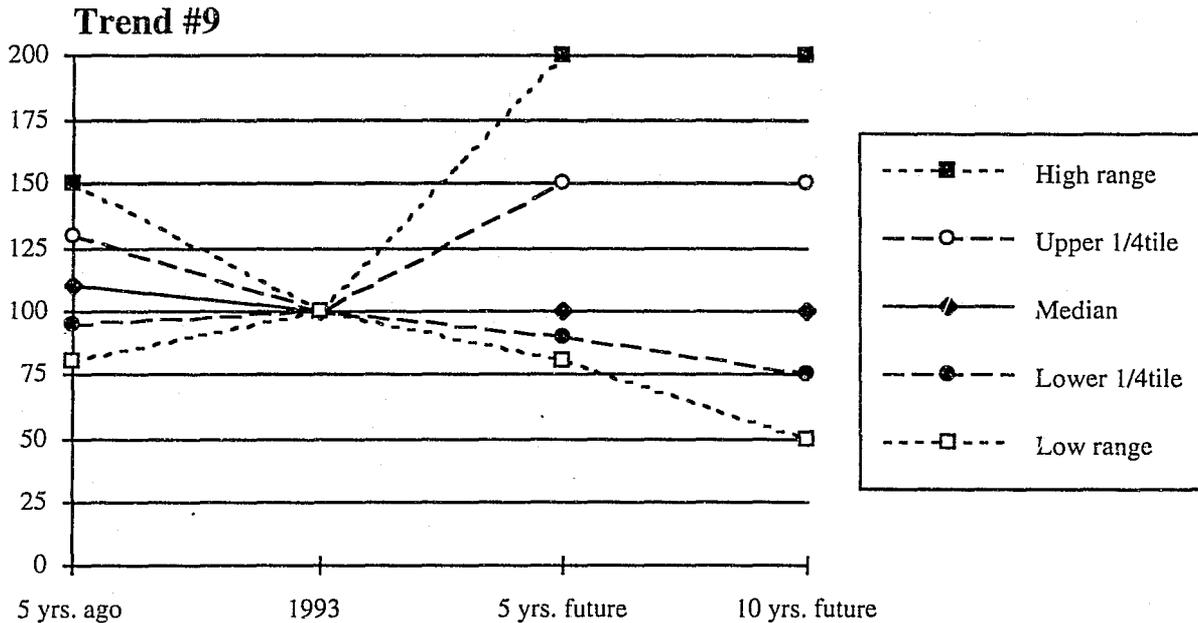
It was the consensus of the panel that policing has lowered it's collective response times to emergency incidents. Discussions by the group identified some reasons, the most repeated was that there has been a reduction in the types of calls for service that agencies will respond to, which frees officers' time and makes them more readily available to respond when an emergency detail is dispatched. The agencies which use response times as a measure of effectiveness still hold on to more traditional measures, and thus readily point to this measure in evaluating themselves, and to justify additional officers. It was forecast that empowering line employees and expecting that they be effective in conducting themselves in developing greater community based partnerships for problem solving purposes would have a negative effect upon response times. The high range projection was that officers response times would double within the next five years, and hold steady at that level. On the low end of the forecasting, there was some optimism that there would be a near twenty-five percent reduction in response times to emergency calls for service.

Illustration #12

Trend #10
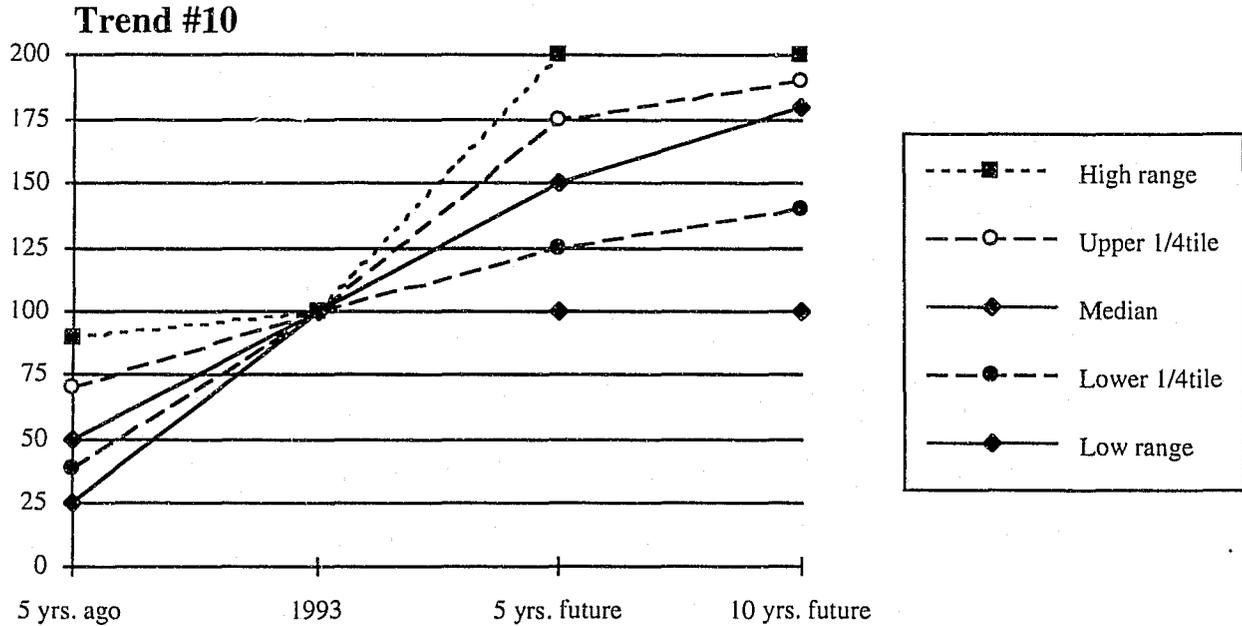
The group forecast a doubling of the police chiefs' commitment to C.O.P. within the next five years, and hold at that level for the remainder of the interesting future. In regard to the low range forecast trend line, it was noted that some C.O.P. related experiments were so rife with problems that two large sized agencies had distanced themselves from the Community Oriented Policing programs.[39] There was no present effect upon the study city.

NOTE: The Chief of Police, of the study city, that participated on the panel has since retired. A new Police Chief was appointed and is in place. He has a background consisting of community involvement and has historically supported Community Policing concepts and philosophies.

Events:

After forecasting the trends, as noted above, the Nominal Group Technique panel used a similar process - silent generation of ideas, then round table offerings to scribes for recording, in order to create a listing of events which could possibly occur and which - if they did occur, could have a significant impact upon the futures issue. The group generated over fifty different events (listed in Appendix C). There was discussion of these, followed by a voting process which resulted in the top ten potential future events being identified and selected for the purpose of this futures study. Below are the top ten events selected through the nominal group technique.

Nominal Group Panel's Prioritized Events

E-1: Officer is disciplined for a COP decision. With the COP philosophy as a foundation upon which the empowerment of the line employee is built upon, the panel determined that the disciplining of a line officer for exercising his discretion would have a serious effect upon the credibility of the organization which was trying to further enable line personnel to have greater control over their work; especially so when exercising discretion in the specific area of COP related police-community partnership enhancement.

E-2: Community Oriented Policing is changed to a specialty assignment. The panel felt that this event would occur where there was limited acceptance within the line structure of the COP philosophy, and employee empowerment was still the driving objective. By creating a smaller cadre of community specialists, with specialty status, flexible work situation, and perhaps a added financial incentive, there would be small successes, paving the way for more.

E-3: There is a large financial award in Law Enforcement for 'failure to supervise'. The field supervisors were determined to be a critical element to the successful implementation of empowerment in the line personnel. With a court awarding a large verdict in law enforcement for failing to supervise, supervisors would be substantially less likely to relinquish control over line personnel and could even participate in very close supervision. Very close supervision, often referred to as 'micro-managing', would impair achieving progress in the empowerment of line personnel.

E-4: Business community demands a higher level of service. As the panel discussed the concept of empowering line personnel the issue of disparate service levels began to evolve. Where an officer embraced the freedoms and built the desired police-community partnerships it was felt

that much of the efforts would occur in the residential areas and thus pull visible policing resources out of the commercial and business areas. With any surge in criminal activity in the business areas, a perceived reduction in police services could result in more 'political' influence to restore services until a crime surge subsided.

E-5: Evaluation instruments include Community Oriented Policing dimensions. The panel felt strongly that if COP was the foundation, the organizational philosophy within which employee empowerment was to develop, these dimensions would have to be evaluated on a regular basis: these components would have to be fused into a selection process for promotion and selection for specialty positions.

E-6: Community Oriented Policing officers receive 'pay for performance' incentives. The empowerment of line personnel would be further extended, ...would be granted greater latitude in the furtherance of the department's objectives to broaden involvement with the community (ies) served. The panel determined that if this was identified as a premium pay item, through the collective bargaining process, then the success of the foundation - COP, would be reduced. The panel felt that while premium pay could aid in moving toward the objective, financial rewards are only interim or temporary incentives and thus would not have a positive long term effect.

E-7: There is an excessively long response to a critical incident because of COP activities. The panel discussed this event as having a strong negative impact upon the future success of empowerment. Providing employees the latitude to involve themselves with community groups and neighborhood problems will take them out of service for longer periods of time and effect the amount of time readily available to respond to calls for service. The publicity associated with bad decisions resulting in delayed responses to significant incidents will have a very negative effect upon empowering line personnel.

E-8: There is a 10% reduction in he law enforcement budget. The panel was cognizant of the state of the national and the state economies. With many cities experiencing reductions in available financial resources the likelihood of a reduction of the public safety budget was such a strong possibility the panel viewed this event as more of a certainty and addressed 'when' more strongly than 'if'.

E-9: A Community Oriented Policing officer refuses to work a non-law enforcement request for service. This event addressed the potential of a line officer actually rebelling against the far reaching potential of the new orthodoxy. The panel discussed the impact upon broadening the line personnel's discretion in providing broader services to the community in the form of non-traditional services. Having a line officer flatly refuse, either overtly or covertly, to provide a

non-law enforcement service would result in strained relationships and reduced trust between police and the community served.

E-10: City Council funds civilian Community Service Officers to support police officers. For this event, discussion revolved around the commercial developments within the study city. The panel felt that there would be City Council support for the public safety functions and the developments would generate sufficient revenues to go forward with funding some level of Community Service Officer staffing to provide field support for the line officer. This would enable line personnel greater time to devote to broadening partnerships with the community.,

These events were then forecast as to when the panel members believed the events could possibly occur over the next ten years (1993 to 2003). Following is the chart with the panel's forecast data, followed by the charting of each individual event.

Chart #2

EVENT EVALUATION CHART

EVENT STATEMENT	Years until Probability First Exceeds 0		PROBABILITY		Impact upon the Issue if Event occurs.	
			Five yrs. from 1993	Ten yrs. from 1993	Positive	Negative
1. A Police Officer is Disciplined For a C.O.P. Related Decision.	Hi Mn Lo	4 2 0	100 50 30	100 95 50	1.6	6.8
2. Community Oriented Policing is Changed from Everybody's Job to a Specialty Assignment.	Hi Mn Lo	10 4 2	75 20 0	100 50 20	5.2	4
3. A Court Awards a Large Financial Verdict against a city for a "failure to supervise" issue.	Hi Mn Lo	10 4 1	60 25 0	75 50 10	1.6	6.8
4. The Business Community Demands a Higher Level of Police Service.	Hi Mn Lo	5 2 0	80 70 25	100 90 50	3.6	4
5. Employee Evaluation Instruments Include Community Oriented Policing Dimensions.	Hi Mn Lo	5 2 1	100 75 10	100 90 15	6.6	2.6
6. Community Oriented Policing Officers Receive Pay for Performance Incentives.	Hi Mn Lo	7 4 2	50 25 0	100 50 25	6.3	3.6
7. Excessively Long Response to a Critical Incident Due to C.O.P. Activities.	Hi Mn Lo	6 2 0	100 70 0	100 90 30	0.5	6.5
8. There is a 10% Reduction in the Police Department Budget.	Hi Mn Lo	10 3 2	90 50 0	100 50 0	1.5	6.6
9. A C.O.P. Officer Refuses to Work a Non-Law Enforcement Request for Service.	Hi Mn Lo	5 1 0	90 75 0	100 90 20	1	6
10. The City Council Funds Community Service Officers to Support Police Officers.	Hi Mn Lo	10 4 1	90 50 0	100 70 25	6.5	3.6

N=8   Hi - High Range   Mn - Median   Lo - Low Range

Illustration #13

E-1. Police Officer Disciplined for COP Activity.
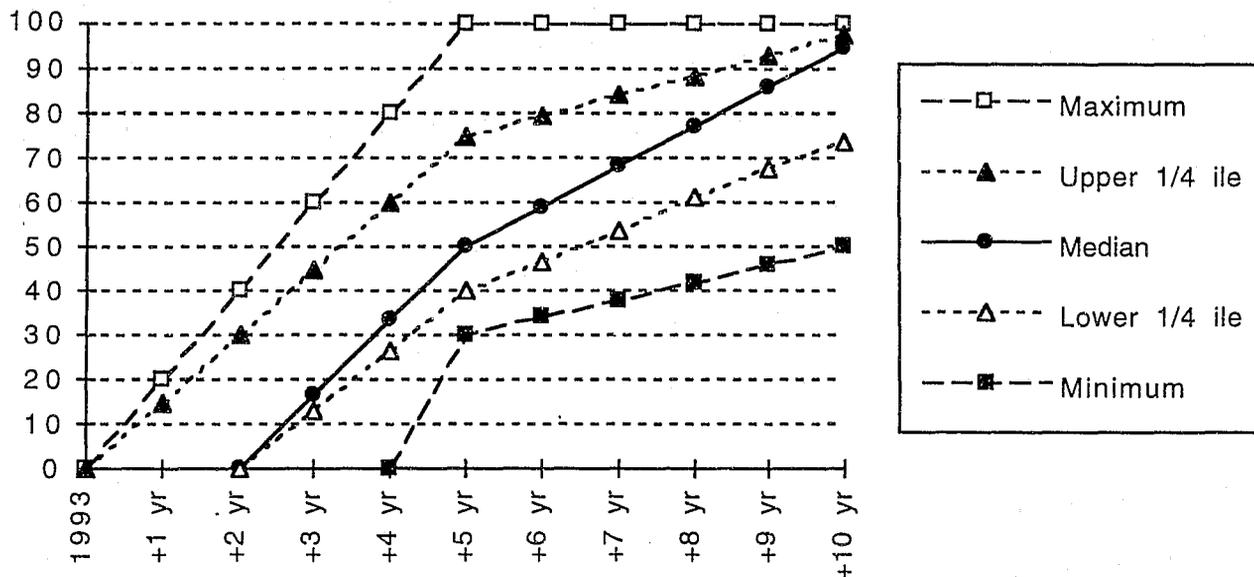
E-1: A Police Officer is Disciplined for a C.O.P. Decision. This potential future event was seen as having a strong likelihood of occurring: consensus was 50% probability within five years and 95% probability within ten years. The impact it would have upon community oriented policing and the empowerment of line officers would be interpreted in varying degrees, by various stakeholders (positive impact range 0-5, and negative impact range 3-9), based largely upon what type of C.O.P. decision was involved, and by whether or not there was a widely held perception that the discipline was meted out 'fairly'.

Illustration #14
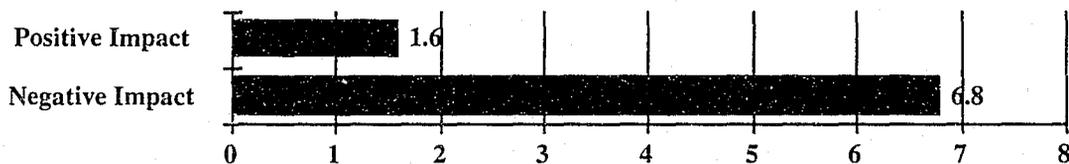
Illustration #15

E-2:   COP Concept Changed to Specialty Assignment.
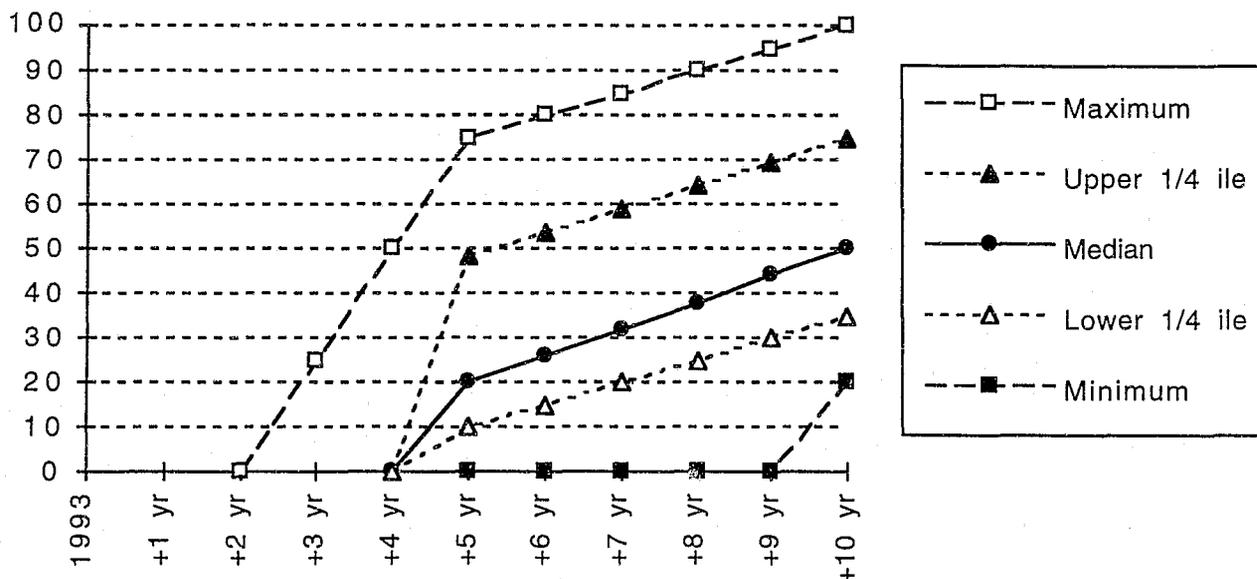
E-2: Community Oriented Policing is Changed to a Specialty Assignment. There have been many efforts and many models of C.O.P. The ideal, suggested by Trojanowicz, is that C.O.P. be a department wide philosophy[40]. Were this thesis to be accepted then taking C.O.P. activities and having only a few employees - any number less than the whole compliment of a department's employees, involved is viewed as a negative impact upon C.O.P. This event however, could be seen as a positive were the organization to be experiencing a reduction of support and participation by its employees, and still desirous of fostering a community-organization partnership in regard to the department's purpose and mission. The panel's consensus of this occurring was 20% probability within five years and <50% probability within ten years (impact range +2-10, -2-8)

Illustration #16
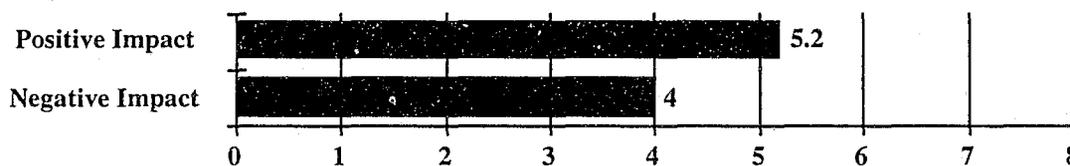
Illustration #17

E-3: A Large Court Award for Failure to Supervise.

E-3: A Large Court Award for Failure to Supervise.

Legend:
- Maximum
- Upper 1/4 ile
- Median
- Lower 1/4 ile
- Minimum

X-axis: 1993, +1 yr, +2 yr, +3 yr, +4 yr, +5 yr, +6 yr, +7 yr, +8 yr, +9 yr, +10 yr
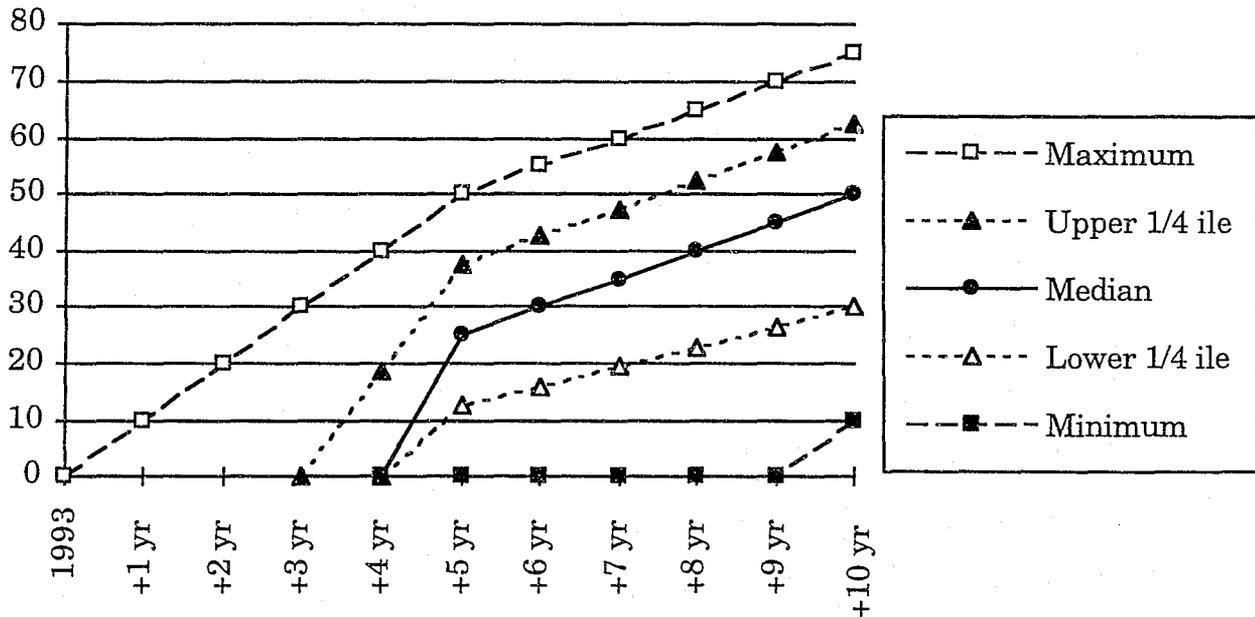
E-3: There is a Large Financial Award in Law Enforcement for 'Failure to Supervise'. In an organizational culture where the empowerment of line level employees is deemed important, the consequences of a large financial award against a police department for it's supervisors not supervising would be devastating. The interpretation of this event and the court's ruling would be critical in any effort to alter the traditional role of supervisors, and in changing the organizational culture through empowerment at the line level. The NGT panel's consensus of this occurring was <25% probability within five years and <50% probability within ten years. The range of impact was relatively tight in the positive +0-4, but much greater in the negative 4-10.

Illustration #18

Positive Impact: 1.6
Negative Impact: 6.8

(x-axis: 0 1 2 3 4 5 6 7 8)
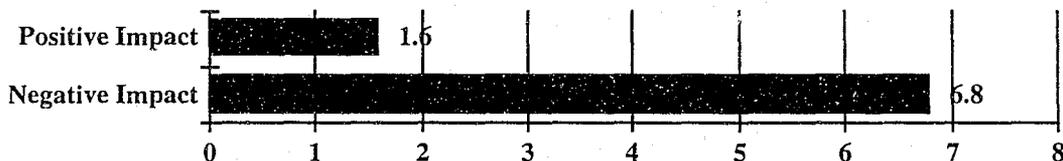
Illustration #19

E-4: Business Community Demands Higher Level of Service.
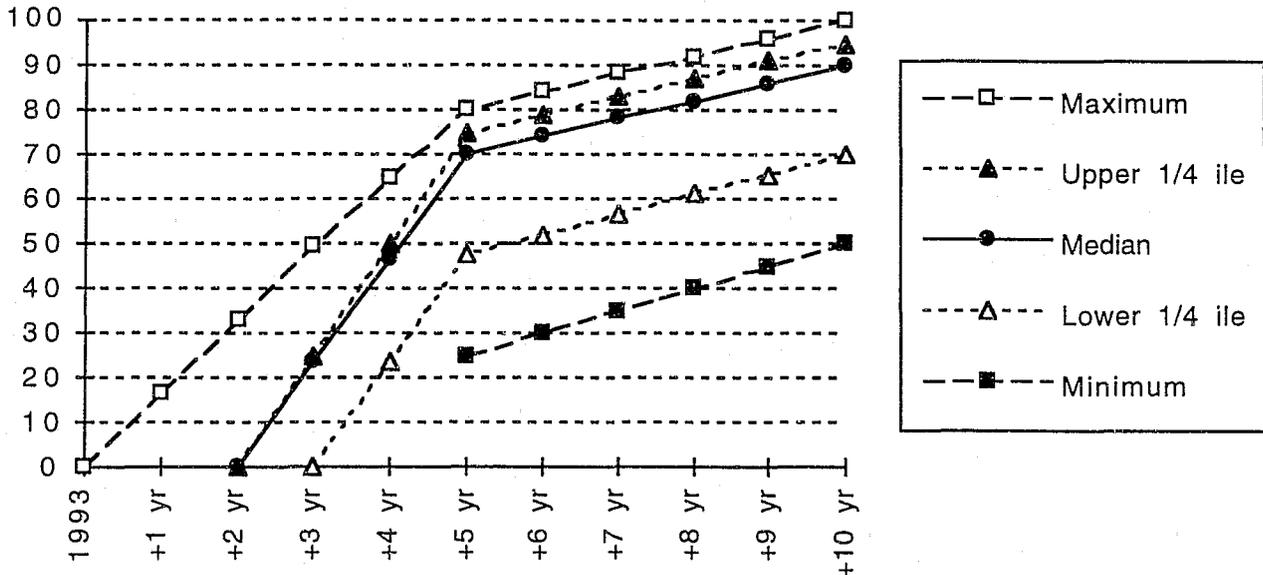
E-4: Business Community Demands a Higher Level of Service. In many communities there are positive relationships between the city services and the business communities. When a segment of government extends energies to enhance its relationship with either specific or particular community segments, it is likely that the long established level of services to the business community could slowly erode to a point where there rises a perception that they are either not getting their 'share', or enough. This could result in some services being terminated, or reduced; and in some cases, the services being acquired by a contracting with a vendor for a fee. The NGT group's consensus of this occurring had a high probability 60% within five years and 90% within ten years. The NGT impact range was positive 0-5, negative 2-10.

Illustration #20
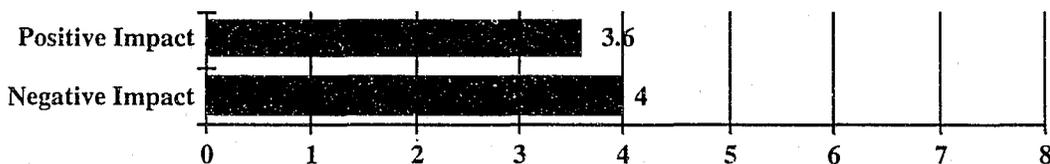
Illustration #21

E-5: Evaluations Include C.O.P. Dimensions.
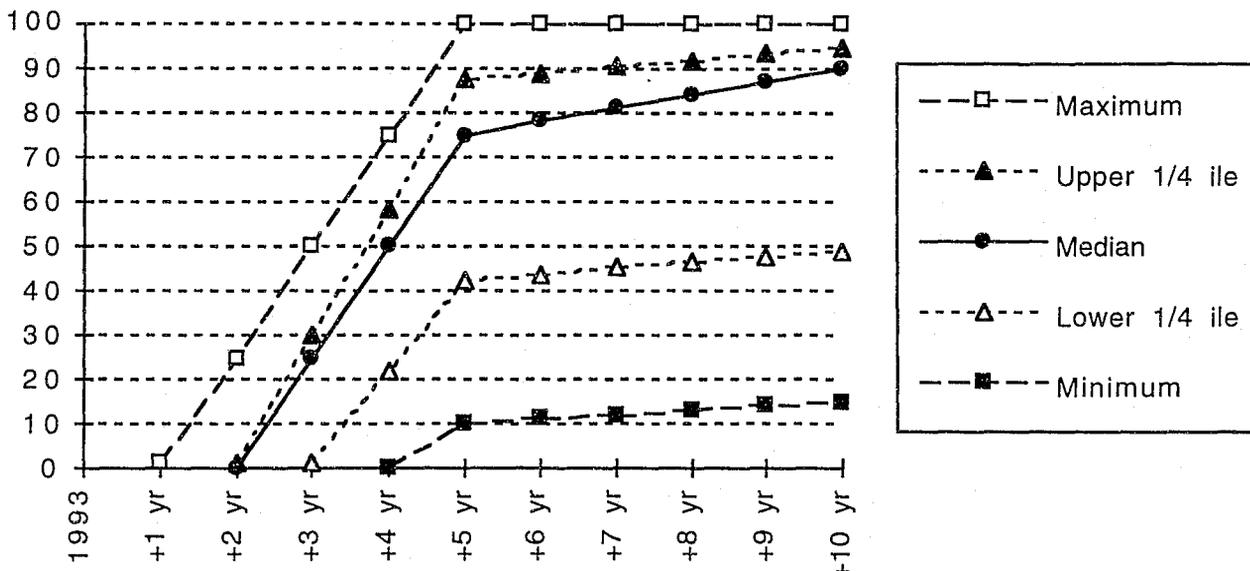
E-5: Evaluation Instruments Include Community Oriented Policing Dimensions. There was a strong consensus that this would occur. An often repeated axiom, "You get what you measure, so measure what you want", drove this event. The NGT panel's consensus of this occurring was 75% probability within five years and 80% probability within ten years. This was also perceived as having a potential significant positive impact upon the issue (range 1,2, and 7-10), and a lessor negative impact (0-2 with two at -7). It was generally accepted that it would be important for COP to include evaluation dimensions for the officers performing tasks associated with the new philosophy.

Illustration #22
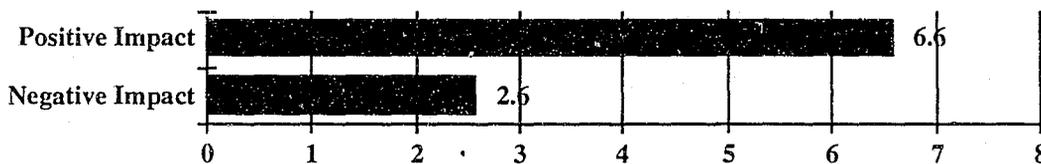
Illustration #23

E-6: C.O.P. Officers Receive 'Pay For Performance'.

Legend:
- ── □ ── Maximum
- ─ ▲ ─ Upper 1/4 ile
- ──●── Median
- ─ △ ─ Lower 1/4 ile
- ── ■ ── Minimum

X-axis: 1993, +1 yr, +2 yr, +3 yr, +4 yr, +5 yr, +6 yr, +7 yr, +8 yr, +9 yr, +10 yr

Y-axis: 0 to 100
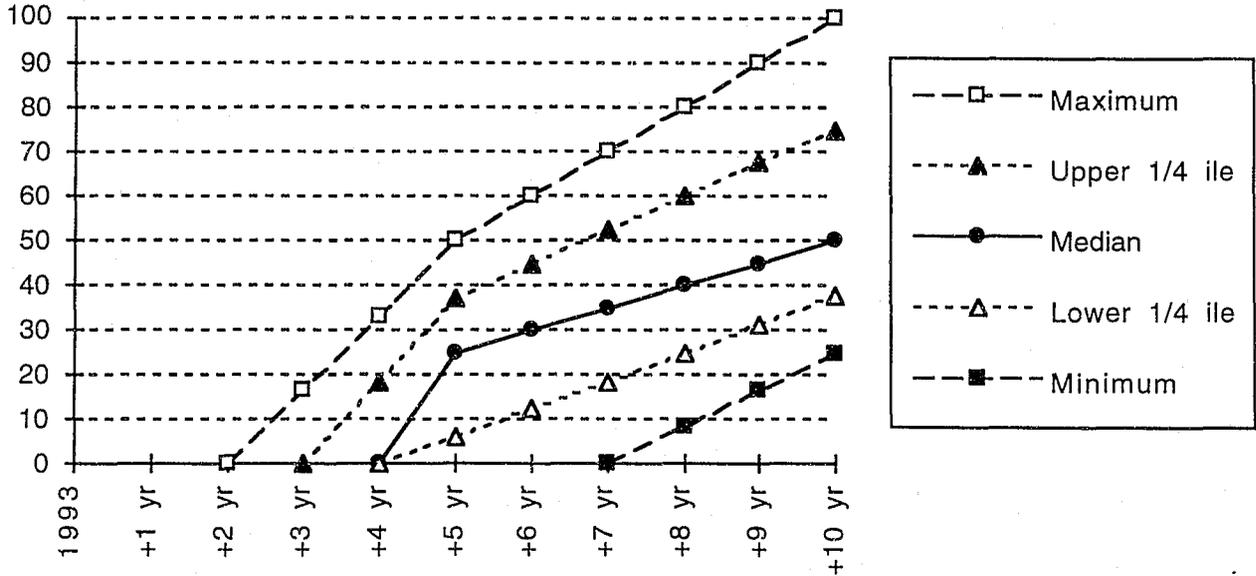
E-6: Community Oriented Policing Officers Receive Pay for Performance Incentives. This possible future event was forecast as having, at maximum, a 50-50 chance of occurring, within five years, through the collective bargaining process afforded public employees per authority of the Meyers-Milias-Brown Act, codified in the California Government Code (Sections 3500, et seq.). In the event that the public entity had the ability to pay any additional incentives, the NGT panel's consensus of this occurring was <25% probability within five years and <50% probability within ten years. The impact range seemed high on positive side (+4, 5, 6-9), with mostly lower negative scores (0, 3 and 5-8).

Illustration #24

Positive Impact: 6.3
Negative Impact: 3.5

(X-axis: 0 1 2 3 4 5 6 7 8)
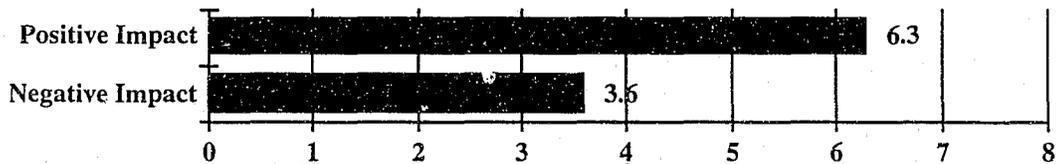
Illustration #25

E-7: Excessively Long Response to A Critical Incident.
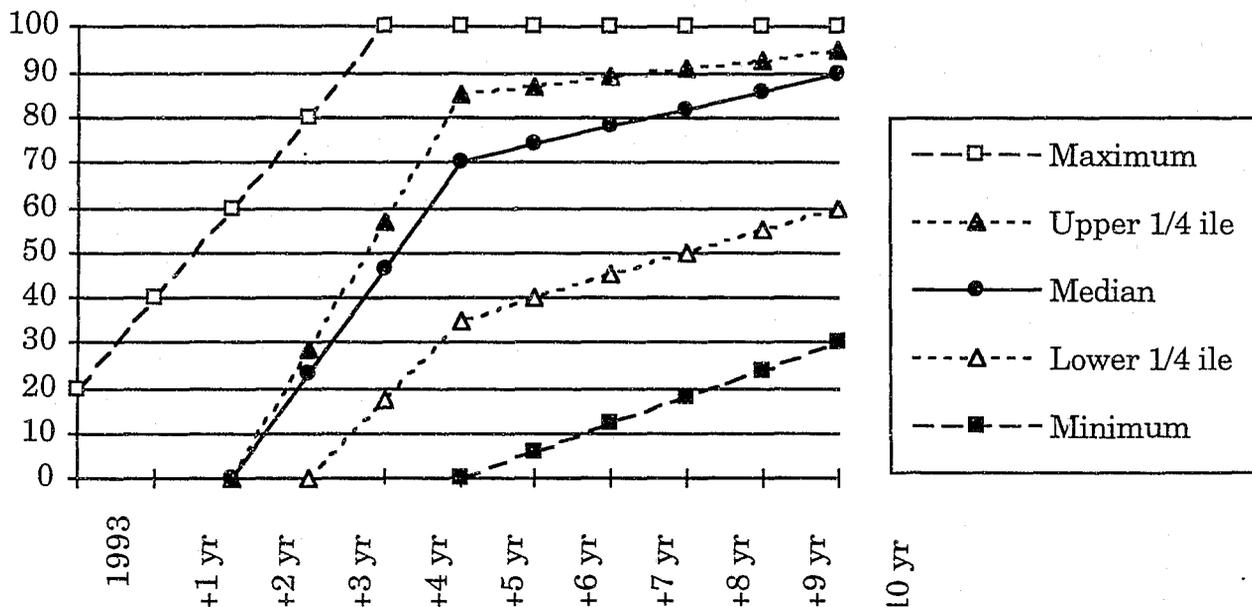
E-7: There is an Excessively Long Response to a Critical Incident Because of COP Activities. One of the basic tenets of C.O.P. is that the line officer will become closer to the community, and the community closer to the officer. This should result in the officer being more readily available to the community for both law enforcement and quality of life issues. These are time consuming endeavors, and in all probability would reduce the 'in-service' officer available time, resulting in potential delayed responses to other calls-for service. Depending upon the frequency of critical incidents, an officer could be extended in responding to a critical incident. The NGT panel's consensus of this occurring was 40% probability within five years and 60% probability within ten years. The positive impact would be very low, and the negative would be great .

Illustration #26
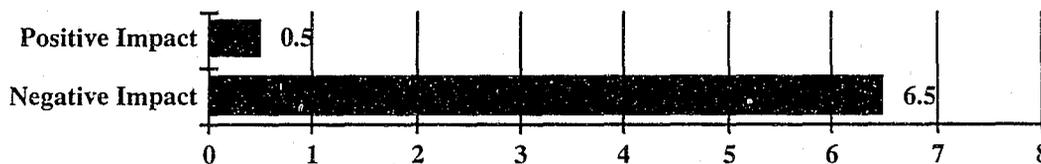
Illustration #27

E-8: A 10% Reduction in Police Dept. Budget.
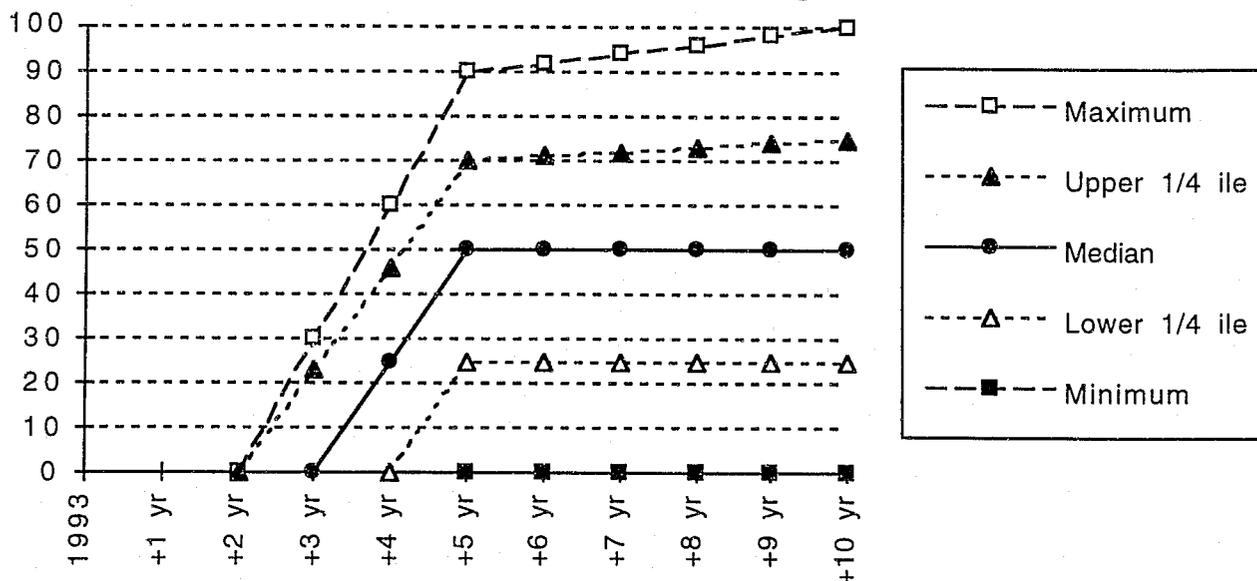
E-8: There is a 10% Reduction in the Law Enforcement Budget. The NGT participants were widely separated upon this event. The majority of the NGT panel was from the study city where there was solid growth and excellent economic expansion: employees bargaining groups with good contracts - including scheduled salary raises; and, a substantial cash reserve. The panel participants from outside the study City were from agencies with serious economic concerns, and limited opportunities. The nominal group panel's consensus, however, was a 50% probability of a budget reduction occurring at five years, and a 50% probability at ten years from today. The positive impact range was relatively narrow (+0-4) showing agreement that little benefit would result from a reduction; and a more harsh negative impact (-4-8) would result.

Illustration #28

Illustration #29

E-9: Officer Refuses to Work Non-L.E. Request for Service.
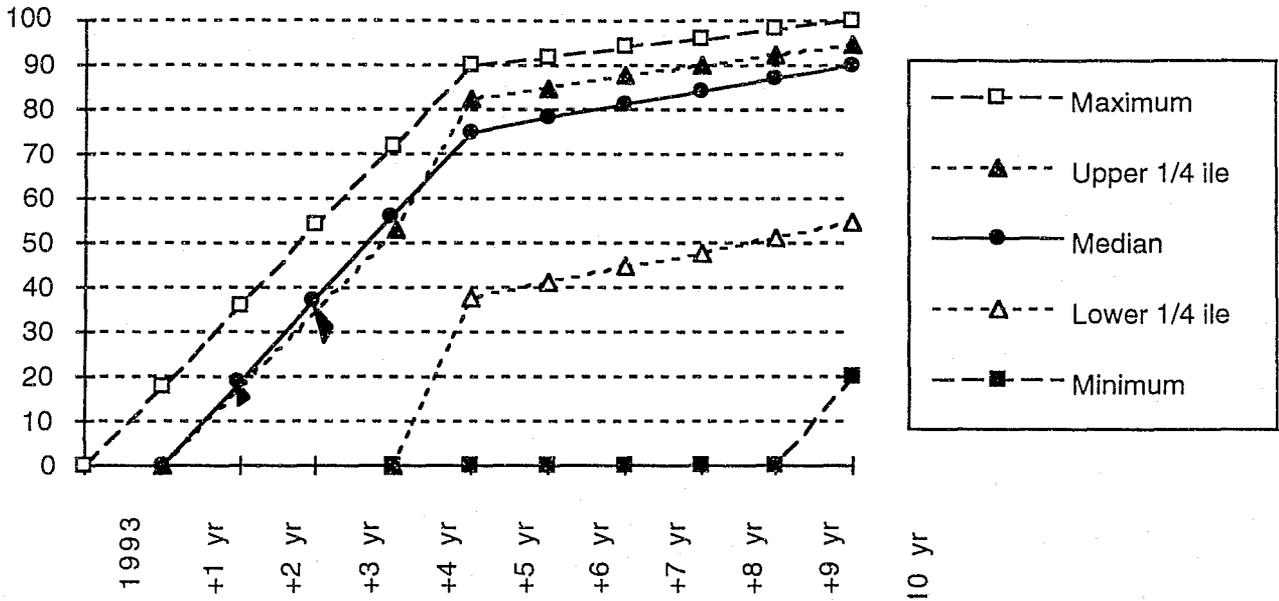
Legend:
- ——□—— Maximum
- ----▲---- Upper 1/4 ile
- ——●—— Median
- ----△---- Lower 1/4 ile
- ——■—— Minimum

X-axis: 1993, +1 yr, +2 yr, +3 yr, +4 yr, +5 yr, +6 yr, +7 yr, +8 yr, +9 yr, 10 yr

E-9: A Community Oriented Policing Officer Refuses to Work a Non-Law Enforcement Request for Service. There was a strong agreement of a high probability that this event would occur within the first five years, 60%, and an 80% probability of it occurring during the interesting future. This was largely due to a rare universal acceptance of the COP philosophy within policing organizations. The non-law enforcement request for service was agreed upon to mean a call for service which would be more of a quality of life item, not necessarily resulting in a crime investigation or a possible arrest situation. The impact range showed strong consensus that there would be low positive impact (range +0-2), and a more harsh negative impact.

Illustration #30

Positive Impact 1
Negative Impact 6

0 1 2 3 4 5 6 7 8
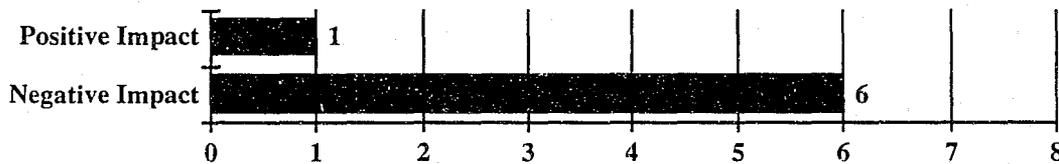
Illustration #31

E-10: City Council Funds C.S.O.'s.
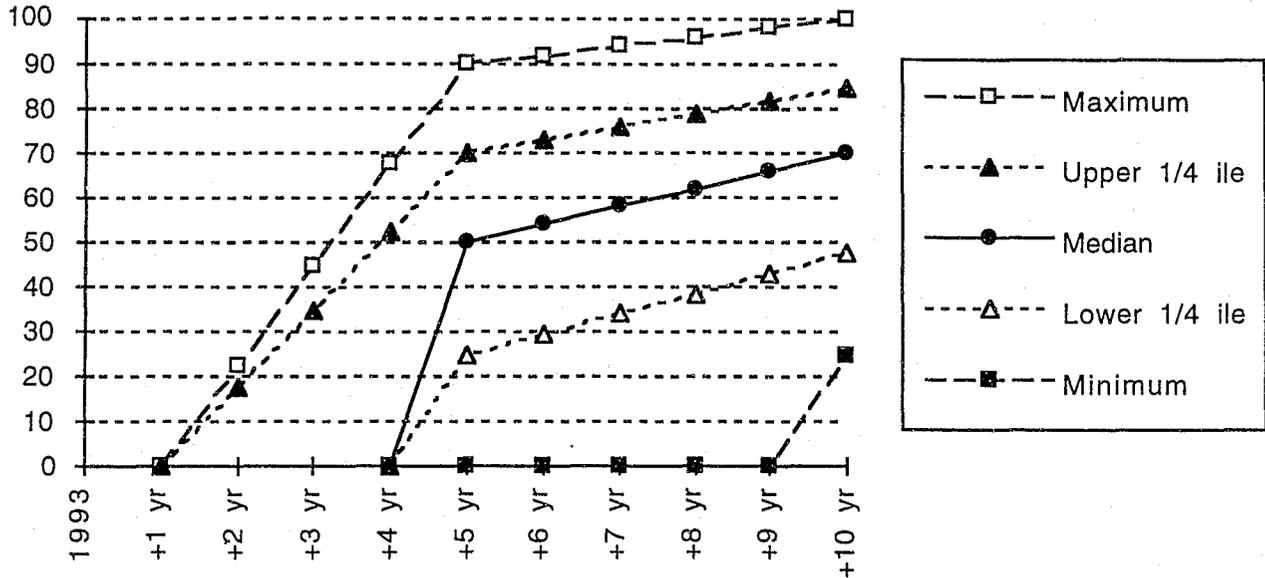
E-10: City Council Funds Civilian Community Service Officers to Support Police

Officers. There was significant support that this would occur within the ten year future under

study. Seventy-five percent of the NGT participants forecast a 50% or greater probability by ten

years. The impact range was quite varied in both positive (+3-10) and negative (-0-6).

Noteworthy is that, again, the majority of the participants being from the study city already

experience two entry level positions in the police classes: one of which is a sworn, non-primary

responder to emergency calls for service. Any move toward CSO's would require collective

bargaining, and in all likelihood a reclassification of the lower entry position.[41]

Illustration #32
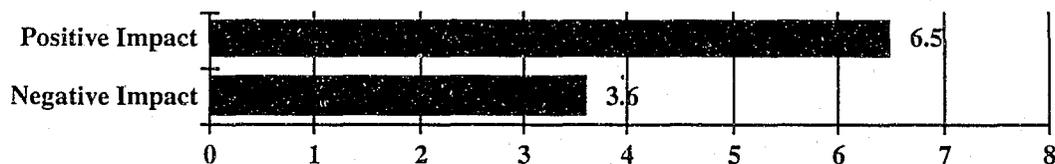
Cross-Impact Matrix

The cross-impact matrix method is an experimental approach by which the probability of each item in a forecasted set can be adjusted in view of judgments relating to potential interactions of the forecasted items.

"In a sense, history is a focusing of many apparently diverse and unrelated occurrences which permit or cause singular events and developments. From these flow ever-widening downstream effects which interact with other events and developments. This interrelationship between events and developments is called cross-impact. The systematic description of all potential modes of interaction is vastly complex but methodologically important, since these descriptions and matrices may provide new insight into historical analysis and permit greater accuracy and precision in forecasting."[42]

Seven steps are involved in a cross-impact analysis exercise. These are:

1. Assess the possible interaction (cross-impact) among individual events in a set of events;

2. Selecting an event and 'deciding' its occurrence or non-occurrence the basis of its assigned probability;

3. Adjusting the probability of the remaining events according to the interactions assessed;

4. Selecting another event from among those remaining and 'deciding' it (using the new probability) as before;

5. Continue this process until all events in the set have been decided;

6. Working the matrix in this way several times so that the probabilities can be computed on the basis of the percentage of times that an event occurs;

7. Changing the initial probability of one or more events and repeating steps 2-6.[43]

While the nominal group was gathered, one responsibility was for each participant to assign probabilities to the likelihood of the events occurring within the identified interesting ten-year future. The NT consensus probability was inserted into the matrix (Chart #3) and when the added event occurs its impact was assessed which contributed to determining a final probability. Positive numbers within the matrix reflect a positive effect ; negative numbers a negative effect.

A 'value' was assigned to the interaction between the events, inserted into the matrix, and a final adjusted probability calculated.

An example of the cross-impact analysis from the matrix, which follows, were the Officer's Association to engage in a collective bargaining agreement resulting in a 'pay for performance' for Community Oriented Policing officers, only, provision in their Memorandum of Understanding (E-6), then it would not be effected by an officer being disciplined by making a C.O.. related decision (E-1): therefore no value occurs in the block with this specific comparison. However, were an officer first disciplined for a C.O.. decision (E-1), it would have a negative impact upon the P.O.A. later negotiating a 'pay for performance' provision (E-6). A negative value was assessed and cross indexed against the E-6 probability.

CROSS IMPACT MATRIX

NGT Probability %		Event 1	Event 2	Event 3	Event 4	Event 5	Event 6	Event 7	Event 8	Event 9	Event 10	Adjusted Probability
Event 1	86%	▓▓	Δ= -25; P2XΔ= -14.8	Δ= 10; P3XΔ= 4	Δ= -10; P4XΔ= -8	Δ= -20; P5XΔ= -16	Δ= -10; P6XΔ= -6	Δ= 10; P7XΔ= 7.30	Δ= 20; P8XΔ= 9	Δ= 10; P9XΔ= 6	Δ= 20; P10XΔ= 15	83%
Event 2	59%	Δ= -20; P1XΔ= -17	▓▓	Δ= 0; P3XΔ= 0	Δ= 10; P4XΔ= 8	Δ= 0; P5XΔ= 0	Δ= 25; P6XΔ= 15	Δ= 5; P7XΔ= 3.65	Δ= -15; P8XΔ= -6.90	Δ= -15; P9XΔ= -9.0	Δ= 0; P10XΔ= 0	52%
Event 3	43%	Δ= 0; P1XΔ= 0	Δ= 0; P2XΔ= 0	▓▓	Δ= 0; P4XΔ= 0	Δ= 0; P5XΔ= 0	Δ= 0; P6XΔ= 0	Δ= 10; P7XΔ= 7.3	Δ= 0; P8XΔ= 0	Δ= 0; P9XΔ= 0	Δ= 0; P10XΔ= 0	50%
Event 4	81%	Δ= 0; P1XΔ= 0	Δ= 0; P2XΔ= 0	Δ= 0; P3XΔ= 0	▓▓	Δ= 0; P5XΔ= 0	Δ= 0; P6XΔ= 0	Δ= 5; P7XΔ= 3.65	Δ= 5; P8XΔ= 2.3	Δ= -5; P9XΔ= -3.0	Δ= 5; P10XΔ= 3.8	88%
Event 5	82%	Δ= 5; P1XΔ= 4	Δ= 0; P2XΔ= 0	Δ= 5; P3XΔ= 3	Δ= 0; P4XΔ= 0	▓▓	Δ= -3; P6XΔ= -1.7	Δ= 4; P7XΔ= 2	Δ= -10; P8XΔ= -5	Δ= 0; P9XΔ= 0	Δ= 3; P10XΔ= 2.3	88%
Event 6	58%	Δ= 0; P1XΔ= 0	Δ= 0; P2XΔ= 0	Δ= 0; P3XΔ= 0	Δ= 0; P4XΔ= 0	Δ= 0; P5XΔ= 0	▓▓	Δ= 0; P7XΔ= 0	Δ= 0; P8XΔ= 0	Δ= 0; P9XΔ= 0	Δ= 0; P10XΔ= 0.0	58%
Event 7	73%	Δ= 0; P1XΔ= 0	Δ= 0; P2XΔ= 0	Δ= -5; P3XΔ= -2	Δ= 5; P4XΔ= 3	Δ= 0; P5XΔ= 0	Δ= -10; P6XΔ= -6	▓▓	Δ= 15; P8XΔ= 7	Δ= -15; P9XΔ= -9	Δ= 0; P10XΔ= 0	66%
Event 8	46%	Δ= 0; P1XΔ= 0	Δ= 0; P2XΔ= 0	Δ= 10; P3XΔ= 4	Δ= 0; P4XΔ= 0	Δ= 0; P5XΔ= 0	Δ= -15; P6XΔ= -9	Δ= 0; P7XΔ= 0	▓▓	Δ= -20; P9XΔ= -12	Δ= 0; P10XΔ= 0	30%
Event 9	60%	Δ= 0; P1XΔ= 0	Δ= 0; P2XΔ= 0	Δ= 0; P3XΔ= 0	Δ= 10; P4XΔ= 8	Δ= 0; P5XΔ= 0	Δ= -5; P6XΔ= -3	Δ= 0; P7XΔ= 0	Δ= -20; P8XΔ= -9	▓▓	Δ= 0; P10XΔ= 0	56%
Event 10	76%	Δ= -20; P1XΔ= -17	Δ= 20; P2XΔ= 12	Δ= 0; P3XΔ= 0	Δ= 5; P4XΔ= 4	Δ= -15; P5XΔ= -11	Δ= -5; P6XΔ= -3	Δ= 10; P7XΔ= 7	Δ= 25; P8XΔ= 12	Δ= 5; P9XΔ= 3	▓▓	82%

E-1: Officer is disciplined for a COP activity.
E-2: COP is changed to a specialty assignment.
E-3: Large financial award for 'failure to supervise'.
E-4: Business community demands a higher level of service.
E-5: Evaluation instruments include COP dimensions.

E-6: COP officers receive 'pay for performance' incentives.
E-7: Long response times for critical incidents.
E-8: 10% reduction in police budget.
E-9: COP officer refuses to work non-law enforcement request for service.
E-10: Council funds Community Service Officers to support police.

Chart #3

The final adjusted probabilities are used in the next step of the futures research - scenario generation.

Future Scenarios

The next step in the futures research process was the development of future scenarios. A scenario is an

> "apparently non-fictional narrative - typically written as if by an historian looking back over the forecasted events and trends as if they had already occurred - intended to clarify the causes and consequences of major developments and thereby facilitate the identification and evaluation of relevant policies or actions by the user." [44]

Scenarios can serve as a guide for monitoring organizational change. They can serve as a starting point for additional planning. Scenarios provide a framework to enhance the planning process by asking "what if" questions and inserting a wide variety of answers to result in different futures. By identifying likely events and anticipating them, a planner can identify and execute strategies or policies to contribute to a more desirable future.

The Commission of Peace Officer Standards and Training (POST) has license to software called, "The Sigma Scenario Generator", © 1993. This program is provided to Command College participants to aid in the random generation of various future scenarios based upon identified events, assigned probabilities and potential positive (+) or negative (-) impacts. The generated possible scenario iterations are reviewed, collated into similar 'families' and used to guide in the writing of future scenarios. Each different scenario iteration generated is identified and individualized by a unique "seed number".

For the purposes of this futures study there will follow three different scenarios: a nominal, a normative, and a hypothetical. The nominal scenario is one 'that will most likely

happen' and could most credibly be perceived as merely an extension of the past. A normative scenario is one that is better than a mere extension of the past; some may call it 'what we would like to happen'. The third type -- hypothetical could be either a best case or worst case scenario. In this study the hypothetical scenario which follows will be the worst case scenario as related to this futures issue.

Using the Sigma Scenario Generator ©, the author generated fifty iterations of possible scenarios and collated them into similar families. Each different iteration was identified by it's individual seed number. The iterations which provided the material for each of the following scenarios appear in Appendix F.

Scenario: The Hypothetical Future (Worst Case)
[Seed No. 9760047]

It is now January 16, 2004 and Chief Ngoc Nguyen (T-8) is reviewing his tenure as Police Chief. He is only half way through his second year of budget reductions, his equipment is in dire need of replacement and he has barely adequate funds to authorize only basic repairs. The neighboring police agencies are using technologies that track electronically restricted convicts, mobile fingerprint readers for in-field suspect identifications, drug use detection technologies and field deception determination devices (T-3). The officers only have three remaining functional mobile computer terminals - that do not connect with data bases -- the federal and state criminal justice systems have updated their software but the department can not. He decides it would be a good time to analyze how he got into this predicament.

In 1991 the Department announced the transition to a Community Oriented Policing (COP) model. A broad based task force was brought together to ease the transition, and to provide the guidance that the department needed to involve the community in conducting the

business of enhancing policing services, and in providing a greater sense of safety throughout the community. The task force plodded through a series of meetings, and did not provide the impetus for the department. There was no direction which resulted in a loss of enthusiasm, and then the loss of any motivation to change (T-4).

In August 1994 one officer was disciplined (E-1) for trying to involve a segment of the community in crime prevention efforts. The officer held meetings, involved the residents on his beat and developed a problem resolution plan. The residents were frustrated over the fear that they were experiencing in their own homes, and the gangs in their neighborhoods. They could not feel safe about their children playing in their own yards. The officer provided specific legal training regarding the use of weapons, and the legal considerations governing the use of force. The neighbors created neighborhood watch programs, and went on citizen patrols in the evenings. It was discovered that they were carrying firearms. There were incidents of firearms being brandished to 'scare away' the youths and there was finally a shooting of an unarmed youth by a neighborhood watch leader (T-2).

The disciplining of the beat officer was the beginning of the end of COP. Other officer's did not feel comfortable working with citizen groups. Barriers began to reappear, and lines of communication between the police and the community were again breaking down. Community policing efforts were lessening, and fewer officers were involved (T-4).

In September 1996, the department experienced a lengthy response to a critical incident (E-7). The newspapers were brutal. There was a community uproar and a demand that the City Council conduct an investigation into the Police Department's commitment to providing services to the community. There was another blemish on the department. Police administration was attacked for lack of leadership and for lack of control (T-1). The City Council directed Police Department staff to provide proposals for response time standards. There were demands to respond rapidly to calls for service (T-9), that significantly interfered with the officers' ability to develop and foster partnerships with the community.

Chief Nguyen and his command staff also recalled some highlights. In May 1997, the Patrol Fleet was equipped with mobile computers (T-3). The system went on-line without a flaw. Officers in the field were electronically connected to automated records management systems, criminal case processing, case enhancement systems, and state stolen property and vehicle data bases. In addition, officers were completing their reports on the computers and electronically down loading them into the city mainframe. Cases were being filed with the District Attorney's Office faster, and complaints were issued more timely.

Chief Nguyen had earned the support of the City Council. It was determined that COP would have a chance again, if officers would have some time to work closer with the community. During the first week of October 1998, the Council had agreed to fund Community Service Officers (E-10). The Great Mall of the Bay Area was open, only one year behind schedule, but some sales tax and business licensing moneys were starting to come into the city coffers. The City Council wanted to provide support to the Police Department (T-6).

Things got bad again, quickly. In the end of October, 1988, the Police Department lost a civil suit that was based upon a 'failure to supervise' issue (E-3). This suit had been trailing in the courts for a few years, and Chief Nguyen certain that the Police Department would persevere. He was wrong. By loosing the suit several things happened. The police supervisors became more involved in the day to day performances of their employees (T-1). Earlier efforts to empower officers who were working with the community were based upon the supervisors role changing. Some progress was made, but the loss and the award of a substantial amount of money resulted in the supervisors supervising closer. Officers decisions were being second guessed. Supervisors gave up on being coaches and employee developers and were concerned about being specifically named themselves in later law suits. The Peace Officer's Association was torn apart. The POA represented supervisors, but the supervisors wanted to break away and form their own bargaining unit. A division was developing and line level employees lost their say in the organization (T-7). Three officers left the department to go to other agencies. Morale

plummeted. Chief Nguyen was attacked by the supervisors for not supporting them; and by the officers for not supporting them. The community got up in arms because the Chief was not being the leader that they had expected. Council support waned.

Then matters did get worse. In March 1999, one of the remaining officers who was doing largely COP functions with the community had been approached by a citizen to conduct a series of neighborhood crisis intervention activities. The officer told the citizen to "pound salt" (E-9). The citizen complained and the officer's attitude got worse. The supervisor got on the employee: as a result COP was effectively dead within the department.

In June 1999, the City Council was deluged by demands from the Chamber of Commerce and the business community for a higher level of service (E-4). With a surge in commercial burglaries and an unusual string of robberies, the Chamber felt that Community Policing was detracting from their getting adequate protective services. The business community did not know that COP was dead, and low morale was resulting in inadequate response to their problems and concerns.

The department stagnated. Nothing good happened. In November 2001, the City Council established a Police Oversight Commission. The employees fought the Commission fearing a civilian review environment. The citizens did not feel that their grievances were given attention. They supported the oversight group. The neighborhood groups stormed the Council to direct the Oversight Commission to attend to their special interests. The Oversight Commission was immediately mired in trying to establish process and purpose. They did not get involved in recommending police operations for over a year due to their in-fighting.

In March 2002, the Council announced that the Police Department would definitely experience a 10% budget reduction (E-8). The revenues expected from the Great Mall slid because of the myriad of problems that occurred there: county buses stopped servicing the Mall due to fiscal cutbacks; a serious increase in incidents of graffiti resulted in fights; the fights

resulted in groups of 'gang-type' youth roaming the Mall and parking lots - setting up territories, and scaring customers away. There were assaults, theft from vehicles, auto thefts, and several incidents of brazen armed 'car-jackings' also kept scaring customers away. Businesses that did not get any help from the Police Department closed. The Mall management company lobbied the City manager and Council for help.

Chief Nguyen could only second guess himself. He thought that the future could have been better had he been more involved in the implementation of Community Oriented Policing (T-10). Efforts to educate and train line personnel should have been foremost. Performance evaluation instruments should have included COP dimensions (E-5). In the 1990's there was a management book published about the most effective management principle: you get what you measure, so measure what you want!

Employee empowerment would work if it were supported. Employees need to have a say in the work that they do: if they don't, they won't care. The result includes lack of enthusiasm, lack of caring, lack of interest, lack of motivation and then lack of productivity.

Chief Nguyen knew that the supervisors role had to change. The department did not prepare for the organizational changes nor the supervisors role changes. By inactivity, by lack of planning, the department planned to fail.

Scenario: The Nominal Future

[Seed No. 9760033]

Chief Ngoc Nguyen got to work and routinely checked his voice mail while he reviewed the weekend activity executive synopsis. He saw that it had been a relatively uneventful holiday weekend. The New Year's holiday, 2004, was over and there were no local events which

required administrative notification, nor were there any press releases. He thought that he could begin work on the 2004-05 budget.

The last voice mail message was from the mayor: he had been informed that the day and midnight shifts had been without supervision over the holidays -- the shift supervisors had scheduled themselves holiday leaves. Chief Nguyen thought that the elimination of the Corporal rank - achieved in October 2003, would provide opportunities for line staff to develop supervisory experience and skills. The Officer's Association concluded that there was inadequate preparation, and called the mayor to air their complaint. Chief Nguyen called his staff together for aid in preparing a response to the mayor. Chief Nguyen also used the meeting to analyze the past ten years to see where they went wrong.

In February 1994, the then seated City Council had appointed a Police Oversight Commission. The intent, initially, was to provide input to the police department to aid in the furtherance of Community Policing efforts. The group was initially designed to be advisory, to be a representation of the community that would be working directly with the Police Department personnel to improve services (T-2). While starting off awkward, there was optimism over the opened lines of communication between the community, and the design of the commission.

The Police Department had started the transition to Community Oriented Policing in 1991 when a task force was formed. It was almost seven years before the task force was disbanded. Over its life span, nearly every officer had served some length of time (T-4). Some had a very short tenure, addressed a specific agenda, and then moved on. Others participated for longer periods of time, but no one had served for the duration. The Captain who was first tasked with guiding the task force had retired. The task force had been called almost every possible name: task force, quality circle, problem solving group, community policing advisory team, CREME (the Committee Regarding an Enhanced Municipal Environment), and TEAM COP (TEAM Community Oriented Policing).

In June 1994, an officer had been disciplined for a COP decision (E-1). The officer repeatedly provided legal advice and training on use of force to neighborhood watch groups. Then, one of the groups was involved in chasing down a 'suspected' gang member' and severely beating him up. The youth was not a gang member, was simply wearing the wrong clothing at the wrong place, at the wrong time. The act of vigilantism was directly attributed to the officers actions. The employees association provided a defense for the officer. It got messy. Much of the blame was somehow directed at the lack of guidance from the CREME, and Chief Nguyen's leadership came under fire. Community Policing was under fire.

In May 1995, the Great Mall of the Bay Area opened, sales were brisk and revenue began to augment the city coffers. Calls for service increased, but the pre-planning that was conducted in 1993-94 aided the department into a smooth transition for the massive project.

Things were then quiet for just over a year. Chief Nguyen used the lull to regroup, recharge the task force, and promote community policing. Nguyen was able to bring in trainers for the supervisory staff to present substance to their role change (T-1). The 'vision' shared with the department was that supervisors were to aid in developing employees who were ambitious -- to provide opportunities for their development and to aid in the development of their supervisory skills. Supervisors would become 'coaches'. Organizational culture was to change.

In October 1995, an officer supposedly promoting the COP philosophy had been approached by a neighborhood watch group to aid in a problem solving exercise. The officer told the block captain that he was a "crime fighter" not a sociologist! (E-9) The department was slaughtered in the local newspaper. There was community outrage over the insensitive manner in which the Police Department provided service. The officer's statement was taken as the departmental standard. This one event severely damaged the Police Department's reputation in the community.

In December 1995, Chief Nguyen redrafted the employee evaluation instrument to include sections to document employees' efforts to further Community Policing (E-5). Employees would be evaluated on problem solving successes, on effectiveness of partnerships developed, on employee's relationship with the community, on the employee's use of appropriate resources to aid in problem solving, and on police employees responsiveness to quality of life issues.

Adjunct to the evaluation process involving the promotion of community policing principles, it was announced that the dimensions performed would have an impact upon selection to specialty assignments, promotions, and career development assistance. The evaluations would also be reviewed prior to decisions for acting-supervisor experience, shift rotations, outside schooling, etc., decisions were made. The COP preference took effect on July 1, 1996 (E-2).

In June 1997, the City Council funded Community Service Officers (E-10). They provided on-beat support to police officers. The CSO's worked in conjunction with the line officer, enabling officers to foster enhanced community relations. The CSO's were to become an entry level in the police career ladder. CSO's position was empowered and barriers to their creativity were removed. There was officer support for their development and for their creative assistance.

The substandard construction of the Mall began to evidence itself in 1997. The parking lot experienced 'sink holes', lighting was unreliable - in the inside common areas and in the parking lot, plumbing backed up, sewage appeared in the faucet water, raw sewage surfaced in storage areas of the anchor stores, drains did not drain, some were found to contain cement plugs, electrical fires occurred frequently, and when the sprinkler system did activate, the shut off valves often stuck and hundreds of thousands of dollars worth of stock was ruined - on three separate occasions. Vacancy rates rose, businesses broke leases to move out, and the Mall was besieged by litigation. The Mall became a monolith, ...a monument to poor construction. It

became a community liability. Revenues dried up, and resources kept pouring into the Mall in terms of calls for policing services (E-4).

Due largely to the Mall failures, the police department budget experienced a 10% reduction (E-8). This took effect in August 1998. Chief Nguyen tried to maintain support for COP (T-10) but this was difficult in light of the reduced revenues. The first year the reduction was handled largely by not replacing damaged equipment, not repairing damaged equipment, extending the life of worn equipment, and deferring replacement of the patrol fleet and computer technology. The number of CSO hours was reduced, and the CSO program was in jeopardy.

The fiscal problems persisted. The City did not recover as rapidly as it had planned. Increased workloads detracted from the amount of time police officers had to work with the community to solve problems. Necessity resulted in a return to the Reform Era policing orthodoxy - respond call to call, be reactive, address symptoms as opposed to root problems. There had been no time to really study the 'problem': supervisors were pushing get in, handle the call, get out. Department wide Community Policing as a service philosophy became a luxury that the department could no longer afford. In September 2001, COP became a 'specialty' assignment carried out by only a few employees (E-2).

In January 2003, representatives from the business community demanded a higher level of service (E-4). They suffered under the belief that the police were still department wide COP driven. With the reductions, the inability of the officers to handle all the calls for service had eroded the services across the board. It got so bad it was practically the "squeaky wheel got greased" situation. The Chamber of Commerce lobbied the City Council for relief. The Council pressured Chief Nguyen for more attention to the business community. Even the high tech businesses formed an alliance and applied pressure to the Council for a high technology criminal investigator -- due to their "special needs".

Chief Nguyen and his staff had a good comprehensive overview as to how they got to the position which led to the mayor's inquiry. The Department did not address the culture change necessary to do some of the structure changes that were done. The supervisor's role was altered by dictate, but not supported with information or training. There was a suspicion that there would be a change in the organizational culture: but management failed to prepare or drive the change. Strategies needed to be identified to align the organization's culture with the vision, the mission, and the values.

Chief Nguyen placed the call to the mayor. As the phone rang in the mayor's office, Chief Nguyen drank from his bottle of Pepto Bismo.

Scenario: The Normative Future

The "Sigma Scenario Generator"© did not produce an iteration which the author found most acceptable. Therefore, this scenario is a product of the author's license.

Chief Ngoc Nguyen had just returned to his office. He had been at the annual conference of the International Association of Chief's of Police where he had been asked to facilitate a workshop on Innovations in Police Practices. Chief Nguyen was honored for the manner in which he and his Police Department had responded to events and had taken obstacles to progress and turned them into developmental opportunities.

It was January 2004, and Chief Nguyen was calling his staff together to revisit their Policing Strategic Plan: 2003-2007. He had used the forum of his workshops to conduct research on what other agencies were experiencing and how they were responding to problems and obstacles. He heard a litany of problems and the inability of many police chiefs to maximize their position when faced with worse case situations. Chief Nguyen wanted to use this meeting

as an opportunity to develop his command staff. Nguyen decided to take advantage of the meeting to revisit the past ten years - to see if they had overlooked any opportunities.

The City had planned development, and when the auto assembly plant closed there was initial concern over the city's ability to regroup. The city did not blindly embrace the rapid building that took place in the 1980's. It stuck to its general plan, blended residential and commercial development: it had a flexible long range plan which included manufacturing. Little did it realize that the 'manufacturing' would become research and development, and the eastern of the so-called Silicon Valley "Golden Triangle". The advent of the high technology movement, the advancement of the 'Information Age' gave the city its market place niche.

In 1994, the then defunct and idle auto assembly plant had opened it's doors as a regional value oriented mall. This had created over three thousand direct jobs, and thirteen hundred secondary employment positions. The youth of the community had opportunities to work, and a place to play. The mall recognized its community responsibility: the owners and the management worked up a plan for community partnership: a portion of the rental profits were returned to the community. After less than one year of operation, it committed to funding fully the Community Parade, and the Summer Festival and 10-K Run. The fiscal success coupled with the civic conscious set a positive precedent for future developments and companies.

The fiscal success of The Mall brought significant moneys into the city's coffers. The city was able to provide the funding for personnel and equipment to service the community with an enhanced level of service: greater than that experienced by neighboring communities. The City Council prided itself (T-6) and its previous Council Persons, for the quality of services provided to the community: residents, transient population, commuters, and business persons, and those who came to the city to shop and to work.

Chief Nguyen was pleased that the officers had approached him with their desire to work with The Mall developers to keep it from being a glorified nuisance(T-4). Community Policing

had been initiated by the previous police chief. It was conducted in such a manner that employees were trained on no only problem identification, but in problem anticipation. The Mall project could have festered and become a meeting place for hoodlums and gang supporters. The officers initiated the dialogue with The Mall and were supported by their supervisors (T-1) in their effort to ward off the potential of a policing nightmare.

At the same time, the City Council had been flexible in supporting the policing efforts of the whole Police Department. The previous chief, and Chief Nguyen, were authorized Expenditure Control Budgets[45]. This had been innovative when started in June 1995, and encouraged department heads to be responsible and resourceful with their budgets. This also provided the added flexibility to seize opportunities and rapidly adapt to small windows of opportunities.

In January 1996, there was a significant effort to involve line personnel with the development of policies and procedures in furtherance of the Police Department mission (T-7). There was a recapturing of organizational values. There were clearly defined parameters as to how much line officer empowerment would be encouraged. This began a shift in the Police Department's culture. The training was redirected toward encouraging trying new procedures and new programs. Line personnel had been under Community Oriented Policing for about five years, but they felt rejuvenated. They felt comfortable with risk taking because they knew that innovating was valued more than stagnating: that risk taking was encouraged and supported; and that there rewards more so for trying and learning what may not work, than doing the same thing year after year. Problem resolution experiences resulted in the reduction of automobile thefts, reduced youth gang memberships, increased incidence of high school graduation and more college scholarships awarded. Police Officers gave the community their time, and in ways never previously experienced - through encouragement from supervisors, and recognition by the city and The Police Department leaders.

In September 1996, the Chamber of Commerce had even honored a police officer for bringing recreational businesses into the community for the youth. These included a youth night club: which provided an arena for local talent to perform, for the local youth to hold dances in a non-academic environment and to grow socially in a more traditional adult environment. There was a futuristic 'arcade' with high tech multi-media computer technology that the youth could learn on: which was augmented by a high-tech interactive learning center. Regional software companies provided programmers to educate the youth (T-2). There were award winning technology innovations, scholarships, and jobs in areas from efforts extended by the Police employees (T-4).

In 1999, the police department was asked to participate in an experiment with, be a beta site for, an interactive hologram training simulator. The intent was to provide "safe" tactical and weapon training, at a cost lower than traditional firearms training. Federal regulations limited the amount of firearms training because the gasses released from firearms had been deemed 'Hazardous to One's Health' two years earlier. The technology adapted well one officer suggested it be used to interface with the Information Super Highway, fiber-optic technology of 1996, to place hostage negotiator holograms into the room with armed suspects at virtually no risk to the police or the hostage. The officer working with the project even convinced POST to fund additional research in partnership with the hologram designers.

In April 2001, the Hologram Design Company had become so successful it wanted to reward the city Police Department for its contributions: The city attorney drafted an agreement where Hologram Design Co. would establish a trust fund that would finance the police department's training. This was indeed the most successful Police - Community partnership yet (T-7).

The officers had been so enthused about the mobile computer terminals (MCT) that were placed into police vehicles in 1994, they wrote enhanced applications. These generated royalties for the Department, recognition for the employees, and broke paradigms regarding potential

applications. As a result, by 2003, MCT's were being used to access not only law enforcement databases, but also the Automobile Insurance Institute's databases for accessing auto part assembly records, reported property theft files - used to identify insurance fraud, and the electronic prisoner tracking system to aid in rapid fugitive apprehension. In addition, systems were developed for instant police notification from personal violence alarms: this resulted in such quick police action that crimes of violence were drastically reduced (T-3).

Line personnel worked so well with the community that police work changed. Order maintenance functions were extremely rare. Acts of violence were countered with rapid suspect identification and apprehension: justice was swift; penalties were certain and harsh. Children grew up safely.

Chief Nguyen and his Command Staff could not identify many missed opportunities. There was an organizational environment to support innovation, to encourage risk, to introduce technologies that made the job minimally risky, yet personal. There was substantial infusion of high technology, and opportunity for face to face police and citizen interaction. The Police Department had taken participative management and empowerment beyond any previously defined 'logical conclusion'. Employee empowerment did result in the elimination of two layers of supervision. Not only was 'empowerment' perfected, but problem resolution teams were used and revisited. Self directed work teams, practicing cross work unit issue resolution and employee development issues, became a norm. New employee selection was a difficult endeavor because the organizational culture was so radically non-traditional when compared to less fortunate policing organizations.

The phone rang and Chief Nguyen's meeting was interrupted. Recruiters for large city police departments were trying to get him to move on and up!

SECTION THREE: A STRATEGIC PLAN

A Strategic Plan for Empowering the Line Officer

in a Medium Sized Policing Agency

by the Year 2004.

*"American police departments are responding
to rapid social change and emerging problems
by rethinking their basic strategies"*
Lee Brown[46]

Purpose: Strategic Planning has been defined as "a structured approach, sometimes rational, other times not, of bringing anticipations of an unknown future environment to bear on today's decisions."[47] What follows is the development of a strategy to achieve the desired or normative scenario described in the previous section.

The Setting: The setting for this strategic plan is the Milpitas Police Department. The City incorporated in 1956. The Department is mid-sized, employing over one hundred full time employees -- seventy eight are sworn. The department services a community of over 56,000 residents: a 37% increase over the 1980 census. The community is very ethnically and culturally diverse: noted in an April 1991, Los Angeles Times article as being one of the two most diverse communities in the country. The city includes a business park which comprises the eastern corner of the so-called 'Golden Triangle' of Silicon Valley: and the residential areas house a range from low income to affluent. The per capita income is comfortable. In 1994, there was aggressive commercial development of over 220 acres - including a 1.5 million square foot mall. The city is financially stable, and while a consideration is not a major factor in day to day operations. The Department is in the process of adopting a Department-wide community policing philosophy. The community has warmly received the initial efforts.

Were the desired future achieved there would be many changes within the organization. In 1994 there were three separate Divisions -- Administrative Services, Support Services and Field Services, each commanded by a sworn captain. One captain position could be replaced by a civilian manager and reflect a cost savings and improve upon the civilian career ladder. This would also reduce the sworn position career ladder opportunities. Both sworn and non-sworn

work units would be built upon a team concept with shared responsibilities, streamlined decision paths, shared leadership, cross training, flexible work hours, fluid decision making teams, and more responsive service to segments of the community.

The organizational culture would also change. Decision making could be delegated to the lowest level, to the line employee closest to the decision point and most familiar with the work being performed. Lines of communication could become more resilient and flexible, And less rigid and directional. Greater departmental-wide access to information necessary for making decisions would be necessary. This enables employees to make informed decisions that effect them and the community served. Accurate information regarding organizational direction, programs and finances needs to be evenly available to all employees.

Mission Statement. To further the objectives of this study, the following micro-mission statement was developed by the author: "The line employees are empowered to develop partnerships with the community that result in the reduction of fear, the resolution of neighborhood problems, and the enhancement of the quality of life. Supervisory personnel will provide a supportive environment for creative problem resolution and innovation while contributing to the professional development of personnel."

Environmental Analysis. The environment analysis is part of an organizational assessment process called "WOTS-UP" analysis. WOTS-UP is an acronym for Weaknesses, Opportunities, Threats, Strengths - Underlying Planning. This analysis is conducted in two parts: an external environment review of opportunities and threats, and an internal review of strengths and weaknesses related to the issue and achieving the mission, and the desired future state.

Opportunities are many fold. Significant economic development continue to provide a sound financial foundation for the city. Well planned, long term investments have kept the city financially solid. This has allowed the police department the financial resources to grow to meet increases in calls for service, to address changing events, and to innovate policing practices.

While private sector down sizing is becoming a norm, the new economic developments are allowing the police department to grow. This growth is fostering opportunities for employee development and empowerment. Empowerment opportunities are a natural outgrowth of the COP philosophy and supervisory support for the officers involvement with the community.

There has been long term advocacy by the past City Councils to support the police department as it provides various services to the community. The political atmosphere is supportive of expanding the community based policing services beyond the boundaries of the police department: involving additional city resources and encouraging line employee creativity. A community survey completed prior to introducing C.O.P. revealed a significant number of residents were supportive of the police department -- 87% of those polled.

Serious crime -- as evaluated by the FBI Uniform Crime Index and the California Crime Index, reveal a slow and steady reduction in the frequency of Part I offenses. The community is less concerned about crime and more concerned with the annoying day-to-day order maintenance issues: i.e. loitering in parks, skateboarders, graffiti, speeding vehicles, and loud gatherings.

"Threats" are much more subtle. The development of the Great Mall is considered an opportunity, with the financial rewards significant. Hidden here, however, lies the potential of economic problems were the Mall to fail. Some youth gangs are reportedly staking the Mall as their 'turf' and the police response will be crucial. Were the Mall to become a disproportionate consumer of policing resources based upon a calls for service basis, then line personnel will be unable to expend their energies in self-initiated partnership building activities.

The emergence of symptoms consistent with a growing youth gang population has resulted in the hiring of a Youth Gang Officer. While the emergence of youth gangs is cause for alarm, the department's gang officer is well received by the youth and is recognized in the region for his expertise.

College students and represented both medium and large sized policing organizations. In addition, a "snaildarter" -- an 'unanticipated stakeholder who can radically impact your strategy', could emerge. This panel also identified this potential 'snaildarter', below. The goal of SAST is to identify stakeholders and attempt to clarify or make assumptions related to their position on the issue.

The following are the identified stakeholders and assumptions that they have relative to the central issue:

(1) Sworn Line Personnel:

(a) will have more participation in the operation of the organization, including establishing goals and objectives;
(b) they will be acquiring more control over their work.

(2) First Line Supervisors:

(a) their role will change dramatically;
(b) they would receive training that will enhance their 'coaching', counseling and 'cheer leading' skills to aid in the successful transition towards greater employee empowerment.

(3) Middle Managers:

(a) the 'lightened' supervisors work load would enable them to delegate more tasks;
(b) an empowered work force would result in improved service and greater acceptance of the police.

(4) Chief of Police:

(a) there would be a disrupted organization through the change period; but ultimately
(b) there will be increased customer satisfaction with the police services rendered.

(5) Peace Officer's Association:

(a) there would be greater pecuniary rewards for the increased duties and responsibilities;
(b) that the City Council will provide more resources -- in terms of people and money, in order to assure success of the Community Oriented Policing philosophy through empowerment of the line officer.

(6) Other City Departments: (a) they believe that the police get a disproportionate share of the City's resources;

(b) this transition will lead to increased communications between and among City Departments.

(7) City Attorney's Office: (a) there will be an increased work load;

(b) the inquiries or requests from line personnel in the Police Department will not be coordinated -- causing redundancy out of their office.

(8) City Council: (a) that empowering line personnel would result in higher quality and more responsive service to the community:

(b) there would be some impact upon the organization's structure.

(9) The Community: (a) anticipate more personalized and faster service;

(b) they would have more input into police services - aid in targeting problems and in identifying and selecting resolution strategies.

(10) District Attorney's Office: (a) they would be getting closer liaison with the individual officers regarding cases filed;

(b) there could be greater latitude for non-traditional approaches to problem resolution.

(11) Other policing agencies: (a) reduced contacts through regional specific crime targeted meetings because of the degree to which business would change and the work load would be altered;

(b) communications into and cooperation from the 'enlightened' organization could be impaired.

If the empowerment were to be extended to an extreme, 'other law enforcement agencies' may be the 'snaildarter': as evidenced by the impaired interaction between the Menlo Park, California, Police Department and the surrounding police agencies when they experimented with a non-traditional uniform blazer concept in the late 1960's. Additionally, the Berkeley, CA., Police Department experienced a lack of trust from its neighboring law enforcement agencies

The certainty of stakeholder's assumptions has bearing upon the success of the change strategy. The panel plotted the assumptions, above, on an assumption may -- See below. The plotting was on a grid identifying the certainty of the assumptions on a vertical scale (from certain to uncertain), and the importance of the assumptions on a horizontal scale (from not important to very important).

Employing this technique -- identifying the assumptions of the stakeholders and plotting them on the grid, provides a visual guide to insuring that stakeholder's interests are considered in developing a strategic plan. The strategic plan which incorporates the 'certain' and 'important' assumptions of stakeholders will have a greater likelihood of broad based support and success.

Illustration #33

STAKEHOLDER ASSUMPTION MAP

```
                              CERTAIN
                                                          8b
                                                 1a
                              5b
                  4b                                            6b
                        7a         2b                     2a
                                        9b              4a     1b
            6a                  5a
      NOT                                          9a      VERY
      IMPORTANT                                           IMPORTANT
                        7b
                                   3a
                  8a                   11b                      3b
                              10a
                                   11a
            10b

                              UNCERTAIN
```
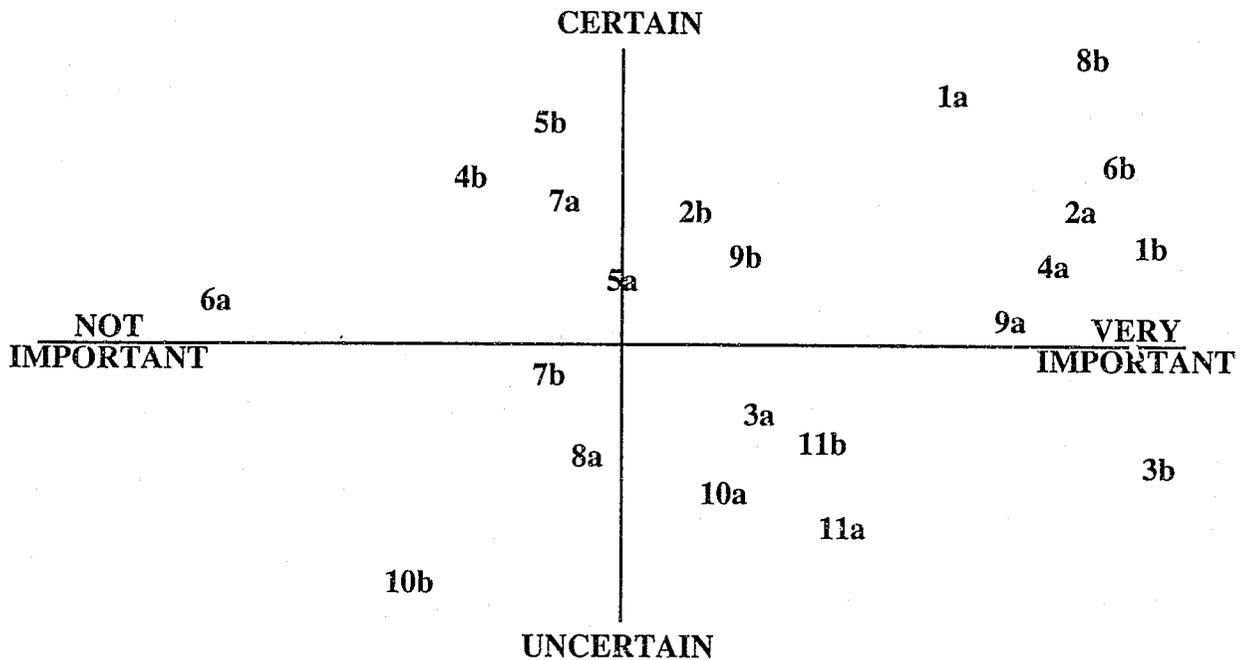
1. Sworn line Personnel	6. Other City Departments
2. First line Supervisors	7. City Attorney's Office
3. Middle Managers	8. City Council
4. Chief of Police	9. The Community
5. Police Officers Association	10. District Attorney's Office

11. Other Law Enforcement Agencies

Developing Alternative Strategies. A Modified Policy Delphi was employed to generate a list of alternative strategies to achieve the micro-mission. A panel of upper management law enforcement personnel identified, evaluated and selected policy alternatives. The panel for this study included: a patrol captain from a medium sized police department; a patrol watch commander from a small San Francisco Bay Area police department; a services captain from a special regional district policing agency; a commander from a larger county sheriff's department; an investigation captain from a large police department; a patrol lieutenant from a Bay Area police department, and a lieutenant from a large coastal police department.

The purpose of the Modified Policy Delphi panel was to increase the probability that the micro-mission is achieved. The identified strategies, listed below, were rated based upon the following criteria:

1) feasibility;

2) long term desirability;

3) training required;

4) impact upon quality of service;

5) stakeholder support; and

6) impact upon customer satisfaction.

Modified Policy Delphi panel (MPD) identified several possible alternative strategies:

1.   Empowering small groups. This strategy would involve an assessment of naturally designated work 'units', targeting specific areas for attention - both internally [i.e. Field Services, Traffic etc.] and externally [i.e. senior citizens, an Asian enclave, a specific neighborhood or housing area], establish a wide based employee or participant steering committee, initiate a phased implementation, and conduct a monitoring procedure.

2.   Obtain management commitment. This strategy involved training the management team, establishing commitment, developing the parameters which would guide the empowerment of line employees, marketing this strategy through the organization, involving employees and first line supervisors, determining the degree of participation implementation, and monitoring the application of an empowerment philosophy.

3.   Provide real time access to relevant information to line level personnel. This strategy involves a heightened level of distribution of information within the organization. Management often communicates regarding information which is 'different' that the types of information which field enforcement units process. Their energies are in different areas -- which both serve to move the department towards its mission. Sharing the information which helps to guide the management of a department only serves to aid line personnel in greater understanding in the internal operations of the organization.

4.   Identify resources for successful implementation. Organizational change, when it is comprehensive, is both time consuming and costly. While the long term benefits extol the initial investment the slow process and costs -- in terms of start up capital investments, service delays,

and temporary reductions in some services, the changes and disruption that does need to be understood and supported by management, supervisors and the external controllers - City Council, City Manager, and - if they have standing, some special interests. The understanding of delay and disruption needs to be fully understood and there needs to be the commitment in terms of resources - both fiscal and human. This strategy incorporates a comprehensive project of identifying resources immediately available to the organization, the resources which will be needed, and the sources for the outside required resources.

5.   Implement self-directed work teams. This strategy is discussed below .

6.   Establish a common language and improve communications throughout the organization. This strategy involves a concerted effort to improve internal organizational communications. To reduce misunderstandings associated with hurried communications, missed cues, perceptional interpretations, an organization which is strong in its internal dialogue and open access to information allows its employees to be better informed and make better decisions.

7.   Prepare stakeholders to manage change -- as opposed to having them be 'victimized' by it. This strategy is discussed below.

8.   Increase employees' control over their work. This strategy is discussed below.

9.   Train for the acquisition and development of necessary skills. Through a study conducted at the Newport News, Virginia, Police Department, specific skills were identified for line officers and supervisory personnel in order to aid in the successful implementation of Community Oriented Policing. Communication skills, problem identification and resolution, motivating group involvement, maintenance of resources, networking, just to name a few, are areas where skill enhancement needs attention to foster greater success.[48]

Two alternative strategies with the greatest amount of support, and the strategy with the most diversity of support were selected for further analysis. The following records the panel's analysis of these three strategies.

Alternative Strategy #1 -- Implement self-directed work teams. Self-directed work teams have been employed in the private sector in complicated production processes, and in disciplines where employees need to work together to improve sales presentations, product design, solve

problems and determine strategies. W.L. Gore and Associates experimented with a "free form management structure" for most of its thirty-seven years.[49] "Leaders" head teams in production or staff departments, rotate periodically, share power, build consensus. Evaluations are done by peers. Communication, salesmanship, commitment, involvement and participation become the motivating factors.

In policing, self-directed teams would work together and possess full responsibility for the entire spectrum of policing duties within either a geographical area or a time frame. These duties would include not only responsive police services -- in answer to calls for service, but in developing problem resolution strategies with neighborhoods, providing crime prevention efforts, acquiring requisite supplies and materials, scheduling training and staffing. Additional tasks to be assigned to the self-directed teams include establishing standards, monitoring adherence to performance standards and achieving objectives, evaluating efforts through peer consensus, collaborating on criminal investigation follow-up, organizing crime prevention efforts, scheduling duty hours and scheduling leaves -- to name a few.

With management establishing clear parameters, providing thorough and quality training, and creating the environment for entrepreneurial risk taking, empowered line level sworn personnel can nurture effective community partnerships and develop innovative and effective problem resolution strategies.

The traditional methods of policing organizations to respond to significant unusual incident events would more likely remain traditional; adhering to strict paramilitary command and control. These unusual incidents include hostage situations, barricaded suspects, violent armed robbers contained, etc.

Identified advantages included:
- - Improves employee satisfaction and morale;
- - Establishes employee commitment;

- - Improves Department effectiveness;

- - Provides more personalized service to the community;

- - Increases the rapidity of decision making;

- - Involves the community in resolution strategies;

- - Aids in employee development;

- - Decision making shifts from vertical to horizontal;

- - Gives responsibility to those closest to the problem;

- - Reduces the frequency of repeat calls at the same location.

The panel also identified potential disadvantages:

- - Employees do not readily embrace change, the more radical the change the more reluctance to adopt it;

- - It is always risky to engage in 'new business';

- - Potential for City Manager or City Council to eliminate 'rank' positions or 'flatten' organization;

- - While developing standards, there will be differential service levels provided;

- - If everyone is in charge, no one is in charge. It will be difficult to assess accountability;

- - Traditional supervisory practices may impede adoption of new strategy;

- - In place supervisors will not readily relinquish 'control';

- - The start up training may be very expensive: employing unusual training styles and techniques;

- - May be viewed by line personnel as excessively 'touchy feely'.

Stakeholder Perceptions. Because this strategy specifically 'targets' the line employees, their support is the most critical. If empowerment did result in more control over the work performed and greater influence in the operation of the organization, the employees should be more motivated to attain objectives, enjoy their work, and achieve more personal satisfaction from the work experience. This change in organizational culture and roles may be viewed suspiciously by the supervisors and mid-management; looking toward the future to the lessening reliance upon

their roles regarding supervising and managing. Training, redefining roles, support and allowing errors in the early implementation phase will be critical to the long term success of an empowered work force.

In a traditional paramilitary organization, the relaxed control by supervisors could result in enhanced service delivery and more satisfied, involved customers. If the community is happy with their policing service they will be more supportive of the City Council and the Police Chief, and, in their efforts to continuously provide better services to the community. With this strategy success can be measured by results as opposed to process.

Alternative Strategy #2 -- Increase employees' control over their work.   The key to this strategy is commitment from the supervisory and management personnel. Policing has traditionally been a para-military service, with structured levels of authority and control. The training of the mid-managers and supervisors to change their outlook and control, and to optimize the organizations technical and social systems[50] is essential. This strategy requires the police chief's commitment and the managers' and supervisors' cooperation .

Identified advantages included:
- - Employees will be more satisfied with their work situation;
- - Employees will be more involved with the organization;
- - Employees will be more involved in their community;
- - Employee morale will be high;
- - Supervisors may become more relaxed in their relationships with their employees;
- - Increased involvement creates more opportunity for innovation;
- - More opportunity for employee creativity;
- - Increased potential for heuristic problem solving;
- - More personalized service to the community.
- - Improved communication within the organization and between line employee and the community;

- - Better understanding of the relationships of processes and systems;

- - Employees will have more responsibility.

The panel also identified potential disadvantages:

- - Too easy to stray from the organization's Mission;

- - Potential for "Lone Ranger" mentality to develop;

- - Inconsistent delivery of services;

- - Organization could loose control over the quality of services provided, and not know it for quite awhile;

- - Can experience difficulty resulting from supervisory personnel not 'letting go';

- - Potential that outside forces, Council or City Manager, would try to 'flatten' organization;

- - Too rapid implementation could be poorly achieved;

- - Department administration could loose credibility if supervisory personnel do not 'let go'.

Stakeholder Perceptions. Concern over the security of supervisory positions may arise. The community could be very supportive if the employee providing their service has the ability to make the decisions that give them the service that they want, and do it faster! Other agencies or departments would have little concern if the organization were to restructure so as to provide more control to the line employee. The City Council would be supportive. In cities where the employees perform well, there is generally solid Council support. The Council can then devote more of their energy to customer satisfaction. The consensus was that the stakeholders outside the Department would be generally indifferent if their service was not impaired, and supportive if service improved.

Successful implementation of a strategy that improves employee morale and productivity, customer satisfaction, and the support of the City Council and the community will be viewed as generally favorable.

Alternative Strategy #3 -- Involve the stakeholders with change management. The panel discussed the dynamics of organizational change -- structure, Mission, purpose, services, and the way it deals with the employees and customers. This strategy involved substantial involvement of each stakeholder in order to communicate intent and purpose. By expanding the authority and responsibility of the line employee, the manner in which tasks are accomplished, services are rendered, and objectives are achieved are altered. With this change, the organization and the employees need to be brought fully into the loop of relevant information. Attempts to allow decisions be made at the lowest possible level require support, commitment and communication.

Stakeholders who are varied and separated require attention to keeping them informed regarding the changes and specifically, how these changes effect them and their business dealings with the organization.

The panel identified potential advantages:
- • - There is more 'buy in' from an involved workforce;
- • - More likely that commitment will permeate the whole organization;
- • - The organization will present a more supportive environment;
- • - There should be increased communication among the stakeholders;
- • - Outside stakeholders will be comfortable with how change will effect them;
- • - Less mystery about the organization will reduce 'rumors';
- • - Development of greater trust and credibility among stakeholders.

The panel also identified potential disadvantages:
- • - Communication takes time and could impede change;
- • - Have to slow communication process to develop a common language;
- • - The slower processes cost more financial resources up front;
- • - Heightened expectations not achieved would frustrate stakeholders;
- • - There would be difficulty in developing consensus;

• - Inconsistent delivery of services to the customers causes damaging feelings of disparate treatment.

Stakeholder Perceptions. The MPD rated the internal stakeholders as strongly supportive of this strategy. They had a greater stake in the outcome. Those who were outside the organization were more indifferent than opposed. This led to some brief discussion of modifying this strategy to place emphasis upon the internal stakeholders, and reduce efforts with those outside the department. The overall intent was to reduce the stress and turmoil associated with change, and allow experimentation with low risk of failure to effect positive good for the greatest number of stakeholders and customers.

The agreed upon as most desirable of the alternative strategies, in furtherance of the study topic -- the impact of empowering line level employees, was to "Implement self-directed work teams." In 1987 Thomas Peters said, "organize as much as possible around teams, to achieve enhanced focus, task orientation, innovativeness, and individual commitment.'"[51]

IMPLEMENTATION PLAN

This proposal is to promote substantial change into the organization of the Milpitas Police Department, and the way the department conducts business. Properly empowering line personnel will have substantial benefits - to employees and to customers, and at the same time create potential conflict if changing role responsibilities are not clearly communicated. The following is the recommended strategy implementation process.

1. Resolve weaknesses identified in the organizational assessment. Change has to start somewhere. The previously mentioned organizational assessment of strengths, weaknesses, most pressing problems, etc. aids in focusing energies on change. Not only is the assessment important, but involving employees and keeping the remainder of the organization informed of progress, direction, and timelines contributes to a successful transition.

This organizational assessment would have more credibility reviewed by an objective outside consultant. The department would select and contract with a consultant with experience in this area to evaluate the assessment and assist in addressing the identified weaknesses.

2. Develop a written policy: a critical element of effective change is a solid foundation upon which to build. The policy should establish the maximum parameters regarding the degree to which management will authorize a line employee to make decisions regarding the expenditure of resources or commitment of funds. Once the clear parameters are cast, management needs to identify and communicate any changes in roles and responsibilities. Policies should be formulated, and parameters clearly established by the department command staff.
The empowered line employees need to be involved with the establishment of measurable objectives in furtherance of the mission.

3. Encourage employee input and participation: employee participation in organization change is a critical component. Once the parameters are established, the participants need to be identified and prepared for the increased responsibilities. The introduction of Community Oriented Policing is sufficient change to catch some employees off balance. Empowering employees, changing roles, increasing responsibilities, changing the method that employees will be conducting their business, and granting them greater latitude in conducting their daily tasks can be threatening. Once the policies are thoroughly communicated through the organization, identified line employees and the POA representative need to be enabled to provide input.

4. Implement an orderly, well defined line employee empowerment philosophy: the community has a right to expect a responsive police department. By preparing the employees, training them, identifying the parameters of their increased responsibilities and authority, management will assist the employees with the skills necessary to succeed. Supervisory personnel will also need training. Their role will change and they will need improved skills in employee counseling, coaching, communication, marketing, and even 'cheerleading'. Supervisors will be asked to lessen their traditional control over the daily activities of their subordinates. Community Policing, too, draws upon many non-traditional resources to achieve policing objectives. Preparing employees through phased development will enhance effectiveness.

5. Put an evaluation process in place: Implementing new philosophies, new procedures or new processes should also have some monitoring process included. With change comes the potential for error. By installing a mechanism, process or committee to monitor and evaluate the effectiveness of change, the Department will be able to enhance successes, and quickly identify failures. This is not to exacerbate positive efforts that don't turn out well: but to catch errant efforts and redirect them positively. By encouraging risk taking and creativity in the policing service, there are bound to be some failures. How the Department responds to these will set the tone for future efforts by employees to be creative, try taking risks and innovating.

A well prepared implementation effort will include time lines. With a significant change in the department's culture and responsibilities, coupled with the department's experimentation with introducing a Community Oriented Policing model, the time frames established should have closure dates - but be somewhat flexible. The following is proposed:

1. Resolve weaknesses identified in organizational assessment
        Time allowed: Zero to six months -- Jan. to Jul. 1995

2. Develop program
        Time allowed: Three to six months --Jul. to Dec. 1995

3. Preparing Department for change
        Time allowed: Six to nine months -- Jul. 1995 through Mar. 1996

4. Implement orderly line level empowerment
        Time allowed: Eighteen to thirty-six months -- by Mar. 1999

5. Install monitoring, evaluation process
        Time allowed: Continuously at predetermined time intervals
                Every 4 months -- Apr. 1995 on

Through out the process there will be identified obstacles, and potential obstacles which need to be addressed. Critics may surface if management stumbles in its resolve to implement a true empowerment program. Failure to thoroughly identify pitfalls can contribute to failure. The acceptance, and support, from critical stakeholders will help; they can also sabotage the whole plan. Participation, open communication, vision and value statements, consistency, 'walking the talk', adequate reward systems need be addressed. Rewarding employees who try and fail can be

as important as rewarding those who try and succeed. Credibility for the program can be easily eliminated with good intentions surrounded by bad decisions and deeds.

Lastly, patience is essential. Significant organizational culture does not change over night. No one can assure that planning will secure success: but someone said that "Failure to plan is planning to fail!" Strategic planning is a process which enables an organization to analyze, identify purpose, and then define a sense of direction. While many organizations adopt mission statements, they do not incorporate the complete planning process into organizational change. Often times good intentions get lost in the bush fires that busy policing organizations encounter.

It is incumbent upon today's leaders to articulate a vision, communicate values, identify the Mission, and formulate plans to motivate employees to achieve success. A superbly crafted plan can provide the map for success.

Through an identified and communicated vision, a well thought out plan, an informed and committed work force, anything is possible. Organizational culture change through the empowerment of line employees enhances the abilities of the police department to achieve success.

SECTION FOUR: TRANSITION MANAGEMENT

A Transition Management Plan for Empowering

the Line Officer in a Medium Sized

Policing Agency by the Year 2004.

"The magic of employee involvement is that it
allows individuals to discover their own potential
and to put that potential to work in more creative ways."
Phillip Caldwell[52]

Self-Directed Work Teams: A single person using quality improvement practices can make a difference. But rarely does a single person have enough knowledge or experience to understand everything that goes on in a process. Therefore major gains in quality and productivity most often result from teams -- groups of people, their skills, talents and knowledge. With proper training, teams can tackle complex and constant problems and develop effective, permanent solutions.[53]

A self-directed work team is a functional group of employees -- usually between six and fifteen members, who share responsibility for a particular function. The teams consist of trained individuals who possess the technical skills and abilities to complete all assigned tasks. Self-directed work teams are accountable for productivity, scheduling, quality, costs: the responsibilities that have all been clearly defined in advance.[54]

By implementing "self-directed work teams" management will be able to enhance employee commitment, improve upon organizational communication, and increase employee involvement and participation. It is incumbent upon top level management to establish clear parameters of employee authority, provide thorough quality training, and to create an environment for entrepreneurial risk taking where empowered line level sworn personnel can develop and nurture effective community partnerships and develop innovative and effective problem resolution strategies.

Implementing self-directed work teams within the public sector will meet with many interesting challenges. In the public sector there has been a tradition, or historical perspective, of a structured and tiered hierarchy to manage operations. New employees are trained by

experienced employees who have performed well within a traditional supervisor - employee relationship. In the past, managers and supervisors told those who worked for them what jobs to perform and how to perform them: in policing, the command and control management philosophy has prevailed. Supervisors followed-up to ensure that each employee completed his or her work. Typical communications were limited between employee and management regarding exactly how the work was to be completed -- management giving orders, employees doing the work.[55]

A successful transition management plan must be designed for the unique environment of an individual organization. This is especially true in a traditional para-military organization like a police department. This plan consists of four sections: identification of key players ("critical mass" individuals); a description of a proposed transition management structure; a listing, and description of, technologies and methods employed to support implementation; and, a time table sequencing critical events.

A micro-mission statement was developed by the author for the purpose of providing direction on the issue to the department. This micro-mission statement states: "The line employees are empowered to develop partnerships with the community that result in the reduction of fear, the resolution of neighborhood problems, and the enhancement of the quality of life. Supervisory personnel will provide a supportive environment for creative problem resolution and innovation while contributing to the professional development of personnel."

"Critical Mass" Individuals: During the Strategic Planning process a number of 'stakeholders' were identified. These 'stakeholders' include:

◊ Sworn line personnel   ◊ First line supervisors   ◊ Middle managers
◊ Chief of Police   ◊ Police Off.'s Assn.   ◊ City Council
◊ The Community   ◊ City Attny. Office   ◊ District Attny. Office

◊ Other City Departments ◊ Community Oriented Policing Task Force
◊ Other Law Enforcement Agencies.

Among the 'stakeholders' were a number of 'actors', specific people or groups of people, that must commit to the implementation strategy in order to make change occur. These key stakeholders form the "critical mass" group. If the 'actors' in this critical mass support the plan it is likely to succeed, and if they oppose it, the plan is likely to fail. An informal polling of line, first line supervisory, and management personnel was conducted, by the author, to identify the critical mass 'actors'. This informal polling also assessed current commitment and needed commitment of this 'critical mass group.' These 'critical mass' actors are:

◊ MPD Chief of Police　　　　　　◊ MPD Field Services Capt. Patrol*
◊ MPD POA President　　　　　　 ◊ MPD Patrol Sgt. Influence*
◊ MPD Support Services Capt. Services*　◊ remainder of patrol supervisors
◊ Officer Inf. Leader*　　　　　　 ◊ C. O. P. Task Force
(* = Names changed for autonomy)

The levels of current individual commitment and the commitment necessary to make the selected change strategy implement effectively are shown in the following Commitment Chart.

Illustration #34

CRITICAL MASS ASSESSMENT

	Block Change	Let Change Happen	Help Change Happen	Make Change Happen
Chief Of Police		X ⟶	O	
Capt. Patrol			X ⟶	O
P.O.A. Pres.		X ⟶	O	
Capt. Services		X ⟶	O	
Sgt. Influence	X ⟶		O	
Patrol Supervisors	X ⟶		O	
Off. Inf. Leader	X ⟶	O		
COP Tsk Frc			XO	

X = Present Commitment   O = Minimum Needed Commitment

Assessments of the actors' current level of commitment, minimum level of commitment necessary for success, and recommendations for approaching them to achieve the desired commitment level follows. The approaches described for each 'actor' follows the concept that "people are a system of needs, if change is to be accomplished with minimal resistance those needs must be met.[54]

◊ MPD Chief of Police: The MPD is presently involved in the transition of putting in place a recently selected Chief of Police. The new Chief is a relative unknown. He is from an outside law enforcement agency and his initial energies were focused upon public budget hearings, becoming familiar with organizational culture, introductions to staff, and familiarization with day to day operations. Because of his recent hire he does not automatically possess any commitment to this transition plan: he will have to be informed, educated and

convinced on the idea. The initial lack of commitment must be interpreted as a "let change happen" position. The necessary commitment level needed is "help change happen". As the Chief is developing his knowledge of the organization culture, processes and mores a "help happen" commitment will suffice. The new Chief will concurrently attempt to address his own agenda. The Chief of Police must be approached in a manner that convinces him that the empowerment of line employees will by far outweigh the expenditure of resources to implement the plan: i.e., service to the community can be more personalized and delivered more rapidly; employees will increase their ownership in their service delivery; a more involved workforce will be a happier, more productive workforce; increased skills at the line level opens opportunities for increased movement laterally within the organization; and, the potential of successfully flattening, or 'down sizing', the organization if the financial need arises will increase proportionately to the success of the empowered work force.

◊ Field Services Division Captain, Captain Patrol: Captain Patrol commands the Field Services Division. He is a POST Command College graduate who is considered a 'change agent'. He has been supportive of the study project, and has been encouraging to the author. Capt. Patrol has been supportive of entrepreneurial risk taking and creative resolution strategies developed by the line employees -- with the coaching of the supervisory ranks. He has been acutely aware of the potential for 'flattening' the present organization, and sees the further development of employees as one means to assure success in that endeavor. Capt. Patrol must move to a more active role in the transition process, from 'helping' to 'making', in order to exhibit his commitment and in providing the direction for change of the field supervisor's role in non-emergency activities.

◊ Police Officer's Association President: The POA is presently in transition: a three term president stepped aside and a former POA President was elected. The unopposed candidate does not have much stake in the proposed change, and will have to be educated as to the potential. The POA President should be considered a "let change happen" level. While the Association

represents the vast majority of the department's personnel, there could be problems associated with implementation were the line personnel to oppose the strategy. There will be changes in "working conditions" that are matters of collective bargaining in the public sector. The POA President should be approached in a manner that will extol the benefits to members, as opposed to the organization or community rewards. Line employees will have a greater influence in the operations of their day to day work in non-emergency functions, and consequently greater control over their own work. The POA President should be committed to a 'help change happen" level.

◊ Support Services Division Captain, Captain Services: Captain Services commands the Support Services Division, and at the time of this writing, he is the Community Oriented Policing Task Force administrator. He is responsible for guiding the implementation of Community Oriented Policing strategies and programs. For the two and one-half years that the COP Task Force has been operational, he has maintained a low-key, supportive, move slowly approach. His commitment level is clearly "let change happen". Some individual 'drivers' within the Task Force have promoted their programs and agendas with support but little direction. Capt. Services will have to increase his commitment to the concept of empowering line employees if this transition plan has any chance of success. Capt. Services will have to exhibit a 'help change happen" level of commitment and assume a more active role and involve his employees in an active participation role. Capt. Services will have to be approached with a two pronged negotiating style: first he will have to be softened by rationality -- the facts associated with the benefits of implementation; and followed up with a psychological influence style -- developing mutually agreed upon focus points, paying attention to employee's feelings, establishing trust, and gaining increased cooperation.

◊ Patrol Sergeant Sgt. Influence: Sgt. Influence had experienced a period of rough times. This employee has been against any effort by "the administration" to effect practically any change within the organization. Sgt. Influence had recently been transferred, immediately

following the transfer published an open letter attacking the transfer. The employee is an effective and popular employee who has a following and is thus capable of blocking many programs. This author believes that this actor's commitment would have to improve drastically, from 'block' to 'help change happen'. The mere acquiescence -- to 'let it happen', would have a negative influence. The most effective approach with this employee seems to expend efforts to use 'rationality', to overcome the employee's objections, with those that this employee has influence over. No matter which negotiation strategy is employed, this will be the most challenging obstacle to overcome.

◊ Patrol Supervisors: Initially these 'actors' wi˙ demonstrate 'block change' commitment. It is essential that management and Capt. Patrol exercise substantial efforts to inform and involve the patrol supervisors in the change. The concept of empowering line employees in a paramilitary organization, with a historical rank structure and delineated lines of power, could pose substantial threat to those with the traditional 'power.' There needs to be significant pre-implementation communication of administratively imposed parameters to the patrol supervisors and obtain their clear understanding of administrative intent, prior to advancing this concept through the ranks. The ideal approach to these 'actors' is the rational approach: explaining where the organization is heading, how empowering employees with further the aim, how the supervisors' role will change -- and how it will remain crucially important. There will need to be extensive marketing of the proposed changes, and of the overall long term benefits, to advance the commitment of these 'actors.' The likelihood of success will increase with the greater commitment of the patrol supervisors to change: ideally, to the point of working enthusiastically to move the organization forward, to 'helping change happen' by taking a very active and supportive role.

◊ Officer Informal Leader: Officer Leader has traditionally emerged as the line level informal leader in rally's against change. This employee has significant following and thus proportionate influence. While this actor often opposes change, this actor rarely sabotages

programs; the most frequent position is to point out how projects fail, don't work, or won't work. This actor could view employee empowerment as a means by the administration to reduce supervisor accountability, and even reduce the number of supervisors. This mindset would be very damaging to efforts to change organizational culture and structure. Off. Leader is viewed as having a "block change" commitment level who needs to be moved into the "let change happen" commitment level. This actor should be approached honestly and openly about the potential benefits to the employees in an empowered environment: reduced bureaucracy, increased influence over operations, more training, greater latitude over problem resolution, greater community involvement, faster decision making and the potential for improved morale.

◊ Community Oriented Policing Task Force: This is a group established by the former chief of police to develop a model of community oriented policing unique to the community of Milpitas. This task force is generally viewed as the conduit through which COP related change must pass, be modified, and be communicated. This group, as an entity, has been receptive to trying new components of community oriented policing. The task force consists of representatives from nearly all levels and classifications of employees: administration, middle management, supervisors, line, sworn and civilian -- a diagonal slice of the organization. The task force is swayed, convinced and won over through facts, cost benefit analysis, intangible benefits and a willingness to experiment. The Task Force does not have a clearly defined person who can deliver their support. There is formalized 'command' but the stated driving force behind the group was employee involvement and 'bottom up' drivers.

There are many 'problems' described in the literature which could provide obstacles to organizational change: the fear of loss of control, introducing too many surprises, potential for disruption, too much uncertainty, the 'difference factor' -- described as the loss of comfortable routines, and concerns about competence.[57] Many of the obstacles need to be openly addressed by involving the stakeholders in the proposed change -- from conceptual discussions through the

development of implementation strategies, identifying key implementation players, and implementation timetables.

The Supervisor's Role: Prior to discussing recommended structural changes, it is important to review the changes among the supervisors. Patrol, first-line, supervisors were identified as "critical mass" individuals, as a whole, who have a significant stake in the outcome of empowering line personnel. Empowering line employees, and concurrently increasing their influence over the organization's attainment of its mission, may prove threatening to supervisors: many of who are tenured and 'comfortable' in their daily activities. Instituting significant change in the supervisor's role will require tremendous effort involving the incumbent supervisors in identifying and providing training -- in how their roles will be altered.

> "Of all the changes that come with self-directed work teams, the new roll of the supervisor is perhaps the greatest challenge. Having self-directed work teams does not mean that the role of the supervisor is eliminated, or even diminished -- it is enlarged. It means changing the traditional supervisory role to that of a 'coach' who develops the potential of all the team members."[58]

The traditional responsibilities of the first line supervisor included: assign jobs; set schedules; prepare plans; obtain supplies and equipment; make corrections; make adjustments; monitor quality assurance; perform operation maintenance; prepare production reports; perform safety inspections; etc.. The 'so called' traditional responsibilities of the employee included: perform tasks of the job assigned by the supervisor. With self-directed work teams the employee would include those previously held by the supervisor. The supervisor's new responsibilities would include: communicating; coaching; coordinating; supporting; enabling; training; clarifying; listening; planning; delegating; reinforcing; etc.[59]

Changing the Management Structure   The agency under study -- the Milpitas, California Police Department, adopted the philosophy of Community Oriented Policing in 1992. Since then changes in structure, leadership, supervision, policy and practice have occurred. A Community Oriented Policing Task Force comprised of a cross section slice of the organization, both sworn

and civilian, has been assigned the mission of developing the Milpitas Model of Community Oriented Policing. The Task Force has been a conduit for change.

In order to implement self directed work teams, under administratively imposed parameters (i.e. enhanced empowerment for non-emergency functions, and reverting to the paramilitary structure with clearly defined roles in significant critical incidents like SWAT situations, Crisis Negotiations incidents, etc.) there will be a reduced dependence upon supervisory personnel -- in their traditional roles. In situations of true 'self-directed' teams, many of the traditional supervisory functions are delegated to team members, with rotating leaders, peer evaluations, scheduling permitted within wide parameters, employee development, improved and broad employee training, consensus surrounding how work is assigned or completed, etc. This author believes a phased and structured implementation program would be the most successful. Implement the self-directed team concept in traditionally specialty units, i.e. Investigation, Traffic, or Community Relations for sworn employees, and Records or Communications for civilian employees, on a trial basis first.

Introducing such a radical concept in the public sector, where there has been a substantial history of command and control management, will seriously task the experimental team. The amount of uncertainty needs to be overcome by careful preparation and planning, communication and training. Involving the selected team in implementation planning and communicating the progress to the remainder of the organization is essential for success.

The organizational structure of most police departments generally fits operational needs often unique to the serviced communities. Within the study agency there is the Patrol Division that fields a complement of personnel around the clock, seven days a week; there is a Traffic Section which fields motorcycle enforcement officers during day and swing shifts, DUI enforcement personnel in the late evening-early morning hours and day shift Monday through Friday investigators. The Investigation Division provides follow-up services on a day time, Monday through Friday schedule -- with flexible hours as needs arise: and a gang-crime

suppression team that operates on a highly fluid schedule. Community Relations personnel work Monday through Friday, day shift. Communications personnel are scheduled full service, twenty-four hours and seven days. Records function is a Monday through Friday operation from 0600 hours to 2330 hours.

The present organizational structure, seemingly hierarchical 'top down', is represented below:

Illustration #35

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                        ┌─────────┐
                        │  Chief  │
                        └────┬────┘
                             │────── Chief's Sect'y
         ┌───────────────────┼───────────────────┐
   ┌──────────┐        ┌──────────┐        ┌──────────┐
   │  Field   │        │  Admin.  │        │ Support  │
   │ Services │        │ Services │        │ Services │
   └──────────┘        └──────────┘        └──────────┘
     Patrol             Records             Youth Services
      Watch I
      Watch II          Communication       Community Relns.
      Watch III
     Traffic            Personnel           Investigation

                        Property               Crime Suppression
```
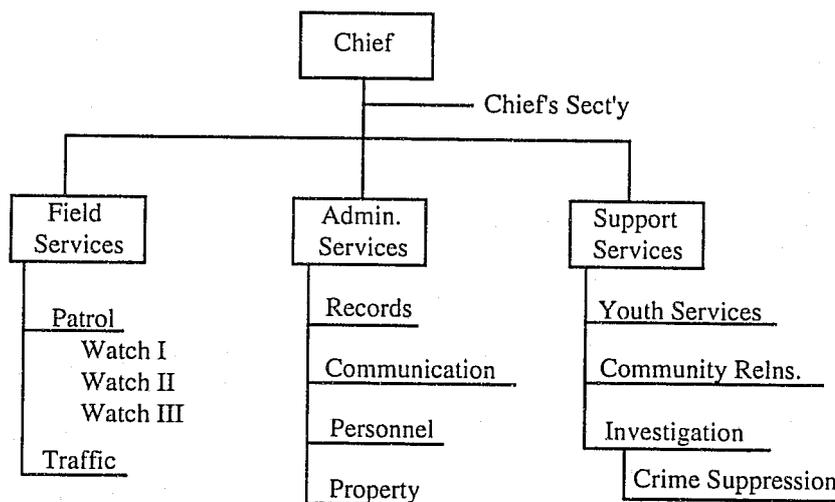
The Present Organization

This structure has been in effect since late 1988, when the Department adopted the three division concept. The only change since late 1988 was the assignment of the Crime Suppression team to the Investigation Lieutenant. This structure is relatively common for agencies this size.

The introduction of self-directed work teams should be initiated initially in support functions: for civilian employees in the Records Section start with creating a team of the swing shift; and for sworn employees, involve the Traffic Section.

Records. Records Section, swing shift, was selected because there is already a very close working relationship within this work unit, and because the unit is relatively autonomous -- operating without the ready presence of management personnel. The swing shift Records section presently consists of a Records Supervisor and two clerks: each does specific records maintenance tasks, and each has a specialty collateral assignment. Presently the shift functions as a team, with each cross trained in the other employee's collateral assignment so that in the event of unplanned absences, the routine, maintenance work will still be completed. The size of this work unit, alone, influences the methods by which the shift is run and the work is completed. By definition, the group is too small for a true 'team', however, functionally it accomplishes assigned tasks very well.

Illustration #36


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                    ┌─────────────────────┐
                    │ Records Supervisor  │
                    └─────────────────────┘
          ┌──────────────────┼──────────────────┐
      ┌───────┐          ┌────────┐          ┌───────┐
      │ Clerk │          │ Intern │          │ Clerk │
      └───────┘          └────────┘          └───────┘
```
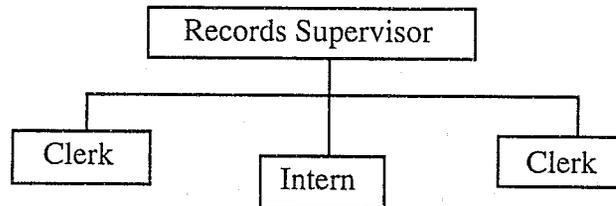
Records Shift (1994)

The swing shift records team would be small, enhanced by a part-time employee that presently floats on an 'as needed' basis. This would enable the supervisor, 'coach', to continue in training for skill enhancement and to proceed with employee development. The 'supervisor' could provide training in responsibilities previously associated with the 'supervisor' and prepare the civilian employees for potential promotion, or at least to provide full service duties in the event of supervisory relief.

The proposed 'structure' would resemble the following:

Illustration #37
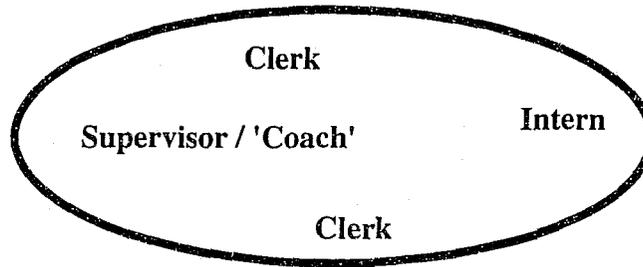
Records Team (proposed)

This 'structure' would serve to break down the traditional lines of communication and open operations and communication where ideas and information could free flow on as informal basis as possible. This small, team atmosphere is presently a desirable shift to serve on because the 'structure' is open and non-threatening. There is presently a cooperative and collaborative working atmosphere that, this author believes, is conducive to the open interaction for positive change to occur. Cross training of each employee in each of the separate responsibilities can be easily achieved. The supervisor can contribute to the development of employees and include them in traditional supervisory functions.

Traffic Section, Field Services Division: The M.P.D. Traffic Section is presently supervised by a sergeant, who reports directly to the Field Services Captain. The unit consists of the sergeant, two traffic investigators, two morning motorcycles and two evening motorcycle officers, and two late night Driving Under the Influence enforcement officers. The present structure follows:

Illustration #38
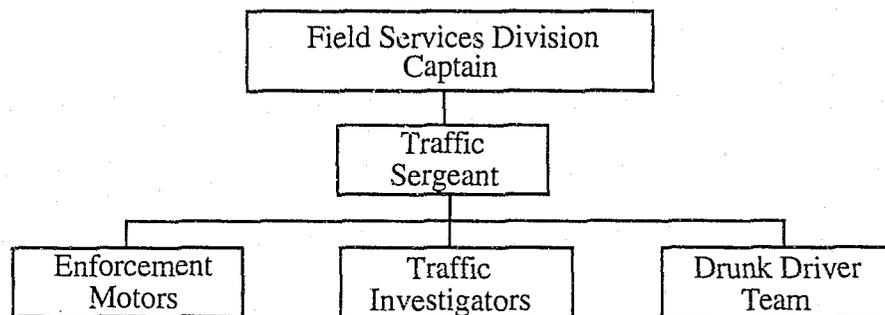
Traffic Section (1994)

Under the present system the Traffic Sergeant rarely sees the D.U.I. enforcement officers unless the sergeant works a 'flexible' or staggered shift simply to overlap: and 'supervises' very little of the evening motorcycle enforcement officers. The day to day supervision of these officers then falls to the on duty patrol supervisors.

The proposed 'structure' would be similar to that of the Records Team where the officers would have the open communication lines between themselves, enhanced opportunities for influencing the operations and selective enforcement targets of the unit. There would be additional cross training in their specialty. (NOTE: Because all officers are basically Traffic Officers with specific specialty assignments, most are well trained in accident investigation and accident reconstruction for major injury or fatal collision investigations.)

Illustration #39
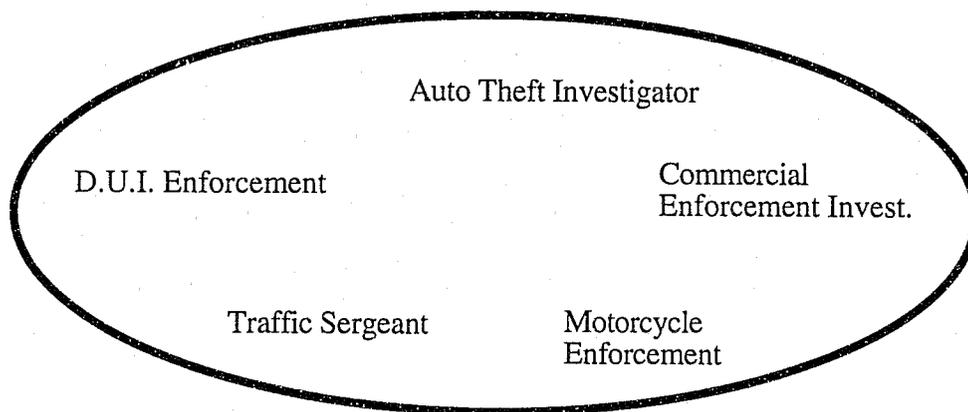
Figure 5. Traffic Team (proposed)

There are nine actual employees presently working in the Traffic Section of Field Services Division. This is a number highly conducive to synergistic team work: corroborative scheduling, peer evaluations, opportunities for employees to assume greater traditional 'supervisory' responsibilities, order supplies and equipment under predetermined criteria, and train for 'job specialty' crossing responsibilities.

The management structure describing the proposed operation would be a 'line-management hierarchy'.[60] This structure results in job enrichment for involved employees who will have specific change management responsibilities different from their usual duties.

This author believes that the successful implementation of self-directed work teams in these identified arenas would substantially pave the way for expanding the concept to organization wide implementation.

IMPLEMENTATION TECHNOLOGIES

Responsibility Charting. Responsibility charting is a process designed to ensure that critical participants -- critical mass actors (Illustration #34), in the change process are clear about their responsibility for specific action steps. Responsibility charting provides a graphic display of the actions to be taken and the level of responsibility for the actions.

For the purposes of this charting process the following terms are used: Responsibility (R) identifies that actor who has responsibility for an action - to assure the action or decisions occur; Approval (A) relates to the actor with authority to approve actions and/or decisions with the right to veto; Support (S) identifies the actor(s) with ability to further the action or decision regardless of level of agreement with no right to veto; and Inform (I) identifies the actor(s) who should be informed of the proposed actions but who cannot veto. A blank space in the chart indicates the actor may be irrelevant to the specific action.

Chart #4

RESPONSIBILITY CHART

	Chief of Police	Capt. Patrol	Capt. Services	COP Task Force	Patrol Supvsrs.	POA Pres.
A. Conduct Organizational Assessment.	A	S	R	I	S	
B. Develop written policies establish parameters.	A	S	R	S	S	
C. Communicate / inform the department.	S	S	S	R	S	I
D. Design initial trial strategy section.	A	S	R	S	I	
E. Prepare Organization for change.	I	S	R	S	I	I
F. Identify training needs & provide training	A	I	R	I		
G. Implement limited trial strategy.	A	S	R	S	I	I
H. Review Policies and amend as necessary	A	S	R	I		
I. Expand application.	A	S	R	S	S	
J. Evaluate and monitor effectiveness.	I	S	R	S	I	

R = Responsibility for an action
A = Approval with right to veto the action
S = Support - provides resources regardless of agreement.
I = Inform - must be informed before action but cannot veto
Blank = Irrelevant to that action or decision

Implementing self-directed work teams into a traditionally paramilitary organization operated in the public sector requires employing various methods, and in some instances technologies. Introducing the concept to a policing organization is difficult: introducing self-directed work teams to the Milpitas Police Department should proceed in the following manner.

Conduct Organizational Assessment: Initially, the administrative staff needs to conduct an organizational assessment at to the desirability, necessity, benefits to the served community were self-directed teams to be established. While there could very well be increased

drain of resources initially, the long term benefits to organization, in terms of enhanced service delivery and employee development, and to the community, in terms of more lasting problem resolution, more personalized service, and improved service delivery systems in place, need to be carefully weighed. Additionally, there needs to be significant commitment within the command structure to proceed -- even though the employee development will result in a substantially different means of conducting business.

Establish Parameters: Once the initial commitment is made to proceed, command staff must clearly set the parameters for the teams to self manage. This could include specifics regarding the absolute minimum staffing levels, the frequency of performance audits, the service delivery measurement devices, the minimally acceptable and target standards, the extent of allocation of fiscal resources, etc.

Communicate the Program: While establishing parameters, and after developing staff commitment, the change needs to be communicated to the organization. The stakeholders identified in the organizational assessment need to be brought into the program as early as possible. Different people view change differently and to reduce discomfort with change, involving key players and actual stakeholders will ease the transition.

Develop Transition Status: Much of the literature suggests that during the transition of from here to there will be activities and responsibilities that are different from both where you are today, and where you want to be. People will resist change for a number of reasons: including the discomfort, concern with competence, much uncertainty exists, surprises arise, concern over more work, concerns over different work, historical resentments, concerns over loss of control, etc.[61] Communication to the work force of the change's being uncomfortable and of the organization seemingly being off balance through the transition and changes.

Prepare the Department for Change: This procedure can be very critical. Through this process the administration will be keenly tasked to answer key questions regarding the

proposed changes, will disseminating accurate and consistent information through out the department, with establishing an environment where focus will dwell upon a problem instead of the employee who identified or created the situation. Middle management need contribute to an environment in creative problem resolution and process related risk taking (as opposed to employee safety issue risk taking).

Training Needs Identification and Delivery : From the organizational assessment training needs would be identified. During the empowerment transition training will need to be delivered. One serious component that needs to be addressed, relative to employees resistance to change, is the concern with competence. Employees will have some history of doing jo¹.s that they have been familiar and comfortable with. The change concerns will be lessened through training, and communication.

Implement Orderly Empowerment: The final stage of the empowerment of the line employee will occur with the relaxing of supervisory controls and the reliance within the organization of work teams to complete their responsibilities. Advance work within the mid-management and supervisory ranks is essential. The roles associated with these 'stakeholders' will be so different that they will need coaching and reassurance. Their commitment needs to be real and strong, and their resolve sincere. There will be times when they too are uncertain and will need reinforcement and support as their roles change.

Install Evaluation and Monitoring Process: As with any program or process, following implementation there needs to be an evaluation component to assure the energies are efficiently expended. Changing the culture of a paramilitary, policing organization is a major event. There will need to be key feedback points and actors who can be assured support as they objectively report on the efforts of the department. The old axiom about killing the messenger because you do not like the message needs attention. A healthy organization can work through adversity, and it also needs to be able to determine when the proposed change is not going to work, and then alter it's course.

1. Conduct organizational assessment
    Time allowed: Six months
    Actors: Command Staff

2. Establish Parameters
    Time allowed: three months
    Actors: Command Staff

3. Communicate Concept to Organization
    Time allowed: immediately and throughout
    Actors: Command Staff

4. Develop Transition Status
    Time allowed: Three months
    Actors: C.O.P. Task Force,
        Command Staff

5. Preparing Department for change
    Time allowed: Six months to one year
    Actors: Command, Supervisory Staff

6. Training needs identified and provided
    Time allowed: six to twelve months
    Actors: Command Staff, Mid-Mgmt., Consultant (?)

7. Implement orderly empowerment
    Time allowed: Eighteen to thirty-six months

8. Install monitoring, evaluation process
    Time allowed: Continuously at regular predetermined intervals

Following the above implementation summary, the orderly empowerment of line personnel in a medium sized suburban policing agency can occur in a period of approximately fifty-four months -- four and one half years from decision to proceed. The evaluative and monitoring process needs to be on-going, and review points need to be established. The purpose of review points is to step back and assess if the prior activities have contributed to achieving the objective, and even if the premises addressing the objective, and the objective itself, is still valid.

SECTION FIVE: CONCLUSIONS

What Will be the Effect of Empowering
the Line Officer in a Medium Sized
Police Agency by the Year 2004?

What will be the effect of empowering the line officer within a medium sized police agency? A firm commitment by management to fully develop and involve employees will have a positive impact upon policing. As noted above, in the literature scan, the increasing presence of the "twenty-something" generation into the workforce is a force requiring managers and leaders to alter the methodology of conducting business. New employee motivations, including an increased drive to be involved in operations and to have a say in how work is performed, are important considerations leaders must address. Involvement will lead to increased commitment.

The study reinforces the belief that empowering line personnel will result in quicker decision making at the level closest to the actual service delivery. The line employees who are the first line of service delivery will be able to provide more personalized service to the community served. There will be closer and more personalized link between the police and the community. The closer link -- manifested in police-community partnerships, will enable the 'customer' to have an increased sense of safety and security in their homes, their neighborhoods and at work. The community members will be provided with opportunities for involvement with, and in contributing to, the policing of the community.

Additionally, by implementing a team concept -- either 'self-directed' or a free floating model, breaking down barriers to effective communication will occur. Communication within the teams will be open, encouraged, and non-judgmental. Only through enhanced and thorough communication will those expected to provide the service have the requisite information with which to make the best possible decisions. Opening the lines of communication to facilitate effectiveness, and reducing the formality of structure, will improve the rapidity at which change may occur. The ground work necessary to implement these kinds of organizational changes will require significant up front energies, which will 'pay for' themselves in the long term.

The empowered employees will be motivated to provide the best level of service possible through their participation in the processes involved in service delivery and problem resolution.

By increasing the level, amount and degree of employee participation the organization will benefit by the resulting sense of employee ownership in the organization's mission, objectives, and goals. There are rewards of accomplishment and satisfaction of performance through contributing to the forward movement of the organization.

How will empowered employees effect the organizational culture? If you do what you always did, you'll get what you always got! Change is inevitable, the challenge lies in managing the change. In their book <u>Managing Workforce 2000</u>, David Jamieson and Julie O'Mara said that "most of today's workers want and <u>expect to be involved in decision making that affects their jobs</u>"[62] (emphasis added). Policing leaders must recognize, and address, these changes in the needs of the workforce.

A survey conducted by Jamieson and O'Mara identified the most important work-related values for the present and near future. This list follows:

A.) *Recognition for Competence and Accomplishments.* People want to be seen and recognized, both as individuals and <u>teams</u>, for their value, skills and accomplishment. They want to know that their contribution is appreciated.

B.) *Respect and Dignity.* This value is focused on how people are treated - through the jobs they hold, in response to their ideas, or by virtue of their background. People want to be respected for who they are. They want to be valued.

C.) *Personal Choice and Freedom.* People want more opportunity to be free from constraints and decisions made for and about them by authorities. They want to be more autonomous and able to rely more upon their own judgment. They wish to have more personal choice in what affects their lives.

D.) *Involvement at Work.* Large portions of the workforce want to be kept informed, included, and involved in important decisions at work, particularly as these decisions affect their work and quality of life at work.

E.) *Pride in One's Work.* People want to do a good job and feel a sense of accomplishment. Fulfillment and pride come through quality workmanship.

F.) *Lifestyle Quality.* People pursue many different lifestyles and wants his or hers to be of high quality. Work policies and practices have great impact upon lifestyle pursuits. The desire for time with family and leisure were strongly emphasized.

G.) *Financial Security.* People want to know that they can succeed. They want some security from economic cycles, rampant inflation, or devastating financial situations.

H.) *Self-Development.* The focus here is upon the desire to continually improve, to do more with one's life, to reach one's potential, to learn and grow. There is a strong desire by individuals to take initiative and to use opportunities to further themselves.[63]

Other changes will be: people need be regarded as assets, not expenses. The organization will need to push forward to recognizing employee's efforts, i.e. innovation, creativity, and risk taking, as opposed to the traditional passively following of accepted paths. The internal collaboration within a team structure will evolve from the existing competition -- for rewards and recognition, and for specialty assignments. In 1981 a published study determined that 'cooperation promoted higher achievement than competition: and, cooperation was found to promote higher achievement than working independently.[64] Most importantly, there needs to be a substantial commitment to communicating within the organization. Keeping employees informed is a time consuming process, and it is probably the most important element to empowerment. Allowing employees the ability and the authority to make decisions effecting their work needs to be based on access to complete requisite information.

How will empowering line employees effect the organizational structure? Selecting the best qualified employees and developing them to their fullest potential -- through training, coaching, mentoring etc., provides opportunities. The fiscal realities of the 1990's in many cities has led to the elimination of command and or middle management positions, the delay in filling command and other positions and, in some instances, civilianizing administrative job classifications.

Some public agencies have 'downsized' without a systematic effort to prepare employees for the changes: they simply responded to a sudden reduction of financial resources. While eliminating promotional opportunities is distasteful for many, the drain of financial resources has often led to the reduction of positions without the preparation necessary for a smooth transition.

Involving employees in the procedure, while not necessarily making the result more tasteful, lessens the uncertainty and anxiety associated with 'downsizing'. By developing and implementing self-directed work teams, employees will have opportunity to participate in the kinds of decisions which substantially affect their work life. Employees thusly involved and informed will experience a significant reduction of anxiety and be able to direct their energies into productive venues. Members of self-directed teams develop the skills necessary to continue the requisite 'work' of the organization which may be thinned at the top in response to fiscal necessity. Trained and skilled line level employees can also contribute to the reorganization of the agency and to the re-engineering of the processes that govern how much of the work is accomplished.

What will be the role of the supervisor with empowered line level employees? The impact upon supervisors poses, perhaps, the greatest potential obstacle to a successful empowering of line personnel. Supervisors who resist change will most certainly resist this change! The first line supervisors will be challenged to train line employees within their teams to conduct many of the tasks previously traditionally held by supervisors -- evaluations, scheduling, determining how the work is done, and to a great extent to assure quality in service delivery. The needed supervisors skills will have to include positive and reflective listening, communicating, training, coaching, mentoring, and to some extent cheer leading. The supervisor who may have served and developed in an environment where correcting mistakes was a significant task will have to adapt into allowing employees to 'try and fail' in order to ultimately improve upon individual and subsequently collective performance.

Some areas where supervisors can contribute to the empowerment of line employees include:

- Encourage spontaneity. Set up situations in which employees feel comfortable openly discussing issues.

- Allow others to run meetings, briefings, or to jointly manage projects.

- Work with employees to use team-decision making processes frequently

- Ask for input on issues and decisions.

- Search for opportunities to recognize employees.

- Interview each employee and peer to establish how they like to receive information. Agree on the information sharing process.

- Use a variety of techniques for sharing and soliciting information.

- Make sure than contributors names are included in reports and memos

- Use "we" when talking about the work unit.

- Clarify employee's responsibility on projects and assignments.

- Establish goals, not only for the team, but also for individuals. Share these goals among the team. Balance group and individual goals -- being careful not to lose sight of individually oriented objectives.

- Establish what rewards individuals and the team prefers.

- Involve members in discussions regarding responsibilities. Identify and resolve areas that need clarity or that overlap.

- Discuss job concerns with employees and involve them in designing goals and objectives for their positions.

- Ask employees how the team might be able to make a greater impact on the organization. Not only will good ideas flow, but people will feel involved, respected, and <u>empowered</u>.[65]

"TEAMWORK IS ESSENTIAL FOR A PRODUCTIVE ORGANIZATION."[66]

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NOVEMBER 1, 1993

Addressee: NGT Participant Letter

I want to thank you for your agreeing to assist me with a nominal group exercise on November 10, 1993. We will begin at 8:30 AM at the Milpitas Police Department, 1275 No. Milpitas Blvd., Milpitas, CA.

This exercise will be a crucial segment of my futures research for my Independent Study Project. As you know the ISP is the final issue study for the California Commission on Peace Officer Standards and Training (POST) Command College.

By way of preparation for the NGT, it is important for me to provide some information relative to the issues to be discussed, the process, and what your contribution will be. My project is titled, "How will empowering line officers impact a Medium Sized Police Agency by the Year 2004?" The sub-issues which will be studied are, "How will employees be empowered?", "How will empowering line employees impact the organizational culture?", "How will empowering line employees impact the supervisor's role?", and "How will empowering line employees impact the organization's structure?".

The group will be asked to provide a number of trends and events which are likely to occur within the next ten years, which could impact these issues. For the purposes of this research study the following are the definitions that I must follow. "Event is a discrete, one time occurrence". A "Trend is a series of events by which change is measured over time."

An example of an event is, 'Police Department eliminates Assistant Chief position.' This is an event because it is a specific one time event. It occurred at a specific date and time, and at a specific location. An example of a trend is, "Number of women employed as Police Managers'. This is a trend because it describes a change that is likely to occur over a period of time. A trend statement is presented in a non-directional manner (that is, it does not imply increases, decreases, or a set opinion).

During the NGT, the participants will discuss the various events and trends discussed for consensus interpretation what they are and what they mean. Then the events and the trends will be ranked, again, by consensus.

The interesting future term for the purpose of this project is ten years. You will be asked to forecast a time period (either five or ten years) with a probability or likelihood of the trend or event occurring within these periods: i.e. there is a 30% likelihood that ....(Event)......... will occur within 5 years, and 50% likelihood that the event will occur within 10 years. This forecasting is highly subjective and is based upon your knowledge of events and trends and history etc.

Time permitting, I will finish the session by seeking your strategies for addressing the likely events and trends which could impact this topic and for implementing a program of empowering line personnel, etc.

If your schedule allows, I would like to extend my thanks for your participation by treating you to a lunch in Milpitas.

❏ 8:30 Introductions

❏ 8:40 Silent Generation of Ideas
   • Trends relative to Issue Question.
   • Non-directional descriptors.

❏ 8:50 Round Robin Recording of Ideas
   • Getting ideas out. (All generated will be included in ISP index.)
   • Non-judgemental.
   • Clarify meaning when done.
   • If none, pass: if new idea generated - offer in turn.
   > Facilitator can add.

❏ 9:00 Group identifies the most important
   • Clarify meaning.
   • Depending upon number, bring down to workable.
   • **Refine, define and clarify for consensus meaning.**

❏ 9:15 Evaluation / Ranking of Top Band
   • Discussion

❏ 9:45 BREAK   • Chart with Top Ten Trends

❏ 10:00 Silent Generation of Ideas
   • EVENTS relative to Identified Trends.

❏ 10:10 Round Robin Recording of EVENTS
   • Getting ideas out. (Clarify meaning when done.)
   • Non-judgemental.
   • If none, pass: if new idea generated - offer in turn.
   • All generated will be included in ISP index.
   > Facilitator can add.

❏ 10:20 Group identifies the most important
   • Clarify meaning.
   • Depending upon number, bring down to workable.
   • **Refine, define and clarify for consensus meaning.**

❏ 10:35 Evaluation / Ranking of Top TEN

❏ 10:50 BREAK   • Chart with Top Ten Events

❏ 11:00 FORECASTING
   11:00 **Demonstrate Trend Forecasting**
   11:10 **Forecast Trends**
   11:30 **Demonstrate Event Forecasting**
   11:40 **Forecast Events**

❏ 12:00 Complete

NOMINAL GROUP IDENTIFIED TRENDS

Gang problems along racial lines.

Community diversity.

Level of police funding.

Size of police organization.

Level of youth crime.

Level of commitment of Chief of Police to Community Oriented Policing.

Level of need for other language skills.

Number or court decisions regulating police practices.

Amount of competition with city hall - for funds.

Level of community involvement with police.

Level of union activism among police employees.

Level of activities directly related to generating revenue.

Level of commitment of line officers to Community Oriented Policing.

Amount of resources dedicated to crime prevention.

Length of response time to non-emergency services.

Level of energies devoted to employee development.

Amount of regional consolidation of police services.

Amount of calls for service.

Level of citizen involvement in Community Oriented Policing.

Number of middle management positions.

Level of community expectations of police.

Number of significant social problems.

Level of education standards for police employees.

Level of victim's rights advocacy.

Amount of new police services to be delivered.

Level of citizen's fear of crime.

Frequency of law enforcement's identity crisis.

Level of infusion into policing of information technology.

Level of impact of commuter transportation congestion.

Level of immigration in community.

Number of convicted felons released from incarceration early.

Amount of handgun regulation legislation.

Amount of charges against the department for doing policing business.

Amount of Total Quality Management inculcated into the organization.

Amount of Victim's Rights legislation.

Amount of economic development locally.

Number of alternative detention methods for offenders.

Level of cooperation with the local school district.

Ratio of police response to symptoms vs. problem's root causes.

Number of self directed work teams employed.

Amount of offender cite and release.

Amount of political interference with police operations.

Level of City Council support.

Number of complaints against officers stemming from their independent decision making.

Amount of neighborhood involvement in Community Oriented Policing.

Amount of administrative commitment to participative management.

Degree of acceptance and support of the first level supervisor.

Amount of infusion of geo-based technology.

Number of Community Oriented Policing departments in the State.

Ratio of civilian personnel in law enforcement.

Number of retirements out of the police department per year.

Level of first line supervisor's experience.

Level of violent crime.

Amount of documentation required.

Amount of services decentralized.

Level of police services privatized.

Amount of involvement of governmental 'reinvention'.

Amount of use of substations.

Amount of training dedicated to employee development (as opposed to skill improvement - given there is a difference).

Level of assembly opportunities.

Number of officer exchange programs.

Ratio of officers per one thousand population.

NOMINAL GROUP PRIORITIZED TRENDS

T-1:   Level of first line supervisors acceptance and support of Community
       Oriented Policing.

T-2:   Level of Citizen Involvement.

T-3:   Amount of information technology employed in law enforcement.

T-4:   Level of line personnel commitment to Community Oriented Policing.

T-5:   Level of funding.

T-6:   Amount of City Council support for Community Oriented Policing.

T-7:   Level of commitment to participative management.

T-8:   Amount of change in demographic composition.

T-9:   Length of emergency incident response times.

T-10: Level of commitment of Chief Of Police to Community Oriented Policing.

NOMINAL GROUP IDENTIFIED EVENTS

Recruitment efforts halted.

Promotions deferred as a cost savings measure.

The Great Mall of the South Bay opens.

Police Officers Association obtains a restraining order to halt Community Oriented Policing.

Excessively long response to a critical incident.

Election of a Mayor who is opposed to Community Oriented Policing.

Elimination of automated Records Management System.

The Police Chief terminates local Community Oriented Policing movement.

McCarthy Marketplace opens. (A 55 acre commercial development.)

The Police Chief is killed at a community meeting.

A 10% reduction in police budget is ordered by Council.

An officer is suspended for a Community Oriented Policing decision.

Asian group claims police harassment.

Light rail opens.

City Council funds Community Service Officers.

City Council cuts Community Oriented Policing funding.

Police Department administration and City Council set response time standards.

Police Chief is replaced by a Chief opposed to Community Oriented Policing.

Police Chief is replaced by Public Safety Director.

Department wide Community Oriented Policing is replaced by a few officers on 'specialty assignment'.

The rank of Corporal is eliminated.

The dominate newspaper carries an expose' on Community Oriented Policing.

Police department experiences a hiring freeze.

Police department experiences a reduction of staff by 5%.

Police department communications center is consolidated with non-Community Oriented Policing agencies.

Police department is ill prepared to handle hate crime series.

A Community Oriented Policing officer turns down a citizens request for a non-law enforcement incident.

City Hall management staff faces reorganization.

City institutes a 'pay for performance' system, but only for Community Oriented Policing officers.

Mobile computer terminals go on-line.

A Community Oriented Policing officer is indicted for some corrupt actions.

M.C.T.s go on-line with successful Record Management System interface.

POST reduces it's training reimbursement by 15%.

Appellate court upholds a large award for police 'failure to supervise'.

City establishes a Public Safety Oversight Commission.

Community Oriented Policing citizen advisory group becomes Civilian Review Board.

City Hall staff faces severe backlog on Community Oriented Policing generated service requests.

Code Enforcement staff increased by 100%.

Wireless communication network installed in bay area.

Federal civil rights suit is filed on a command and control issue at the supervisor level.

Automated Records Management system is incompatible with mobile computer terminals.

Police department institutes a 'cold report' mail in system.

Police department opens a neighborhood substation.

City Attorney refused to provide legal advice for Community Oriented Policing .

Business community demands a higher level of police services.

City Council disarms Community Oriented Policing officers.

New city attorney is hired.

Community Oriented Policing officers wear different and distinctive uniforms.

Vigilantism is conducted by a Neighborhood Watch Program block captain.

Police Chief becomes autocratic decision maker.

Administrative Services Division Captain is replaced by a civilian executive.

P.D. managers supportive of 'self-directed work team' concept.

Performance appraisal system is modified to reflect Community Oriented Policing performance.

The police department changes from service orientation to enforcement orientation.

Two immediate sworn supervisors positions are eliminated in the budget.

NOMINAL GROUP PRIORITIZED EVENTS

E-1: Officer is disciplined for a COP activity.

E-2: Community Oriented Policing is changed to a specialty assignment.

E-3: There is a large financial award for 'failure to supervise'.

E-4: Business community demands a higher level of service.

E-5: Evaluation instruments include Community Oriented Policing dimensions.

E-6: Community Oriented Policing officers receive pay for performance incentives.

E-7: There is an excessively long response to a critical incident because of COP activities.

E-8: There is a 10% reduction in the law enforcement budget.

E-9: A Community Oriented Policing officer refuses to work a non-law enforcement request for service.

E-10: City Council funds civilian Community Service Officers to support police officers.

The Policy Analysis Co., Inc. SIGMA Scenario Generator

For the dennis.sig data, the Events RANKED by --

>>   CONSENSUS   <<

Are ---

RANK

R- 1 Cnsns= 0   E-15.Corporal rank eliminated due to empowered workforce.
                       P= 82 Im +/- = 1   8 Cnfd= 0 Cnsn= 0
R- 2 Cnsns= 0   E-1.Officer is disciplined for a C.O.P. decision.
                       P= 84 Im +/- = 8   2 Cnfd= 0 Cnsn= 0
R- 3 Cnsns= 0   E-2.C.O.P. is changed to a specialty assignment.
                       P= 84 Im +/- = 8   2 Cnfd= 0 Cnsn= 0
R- 4 Cnsns= 0   E-
3.A large cash award for 'failure to supervise' against Department.
                       P= 84 Im +/- = 8   2 Cnfd= 0 Cnsn= 0
R- 5 Cnsns= 0   E-4.The Business Community demands a higher level of service.
                       P= 56 Im +/- = 7   5 Cnfd= 0 Cnsn= 0
R- 6 Cnsns= 0   E-5.Employee evaluation instruments to include C.O.P. dimensions

                       P= 18 Im +/- = 4   2 Cnfd= 0 Cnsn= 0
R- 7 Cnsns= 0   E-6.Officer's Assn. negotiates a 'pay for performance' provision

                       P= 68 Im +/- = 3   4 Cnfd= 0 Cnsn= 0
R- 8 Cnsns= 0   E-7.Experience a long response time to a critical incident.
                       P= 68 Im +/- = 3   4 Cnfd= 0 Cnsn= 0
R- 9 Cnsns= 0   E-8.Police Dept. experiences a 10% budget reduction.
                       P= 68 Im +/- = 3   4 Cnfd= 0 Cnsn= 0
R- 10 Cnsns= 0 E-9.City Council funds a Community Service Off. concept.
                       P= 36 Im +/- = 2   6 Cnfd= 0 Cnsn= 0
R- 11 Cnsns= 0 E-
10.C.O.P. officer rejects citizen request for non-crime service call.
                       P= 36 Im +/- = 2   6 Cnfd= 0 Cnsn= 0
R- 12 Cnsns= 0 E-11.City Council sets police response time standards.
                       P= 8 Im +/- = 1   9 Cnfd= 0 Cnsn= 0
R- 13 Cnsns= 0 E-12.City establishes a Police Oversight Commission.
                       P= 83 Im +/- = 1   8 Cnfd= 0 Cnsn= 0
R- 14 Cnsns= 0 E-13.M.C.T.'s go on-line with sucessful RMS interface.
                       P= 30 Im +/- = 1   7 Cnfd= 0 Cnsn= 0
R- 15 Cnsns= 0 E-14.P.D. manager's supportive of 'self-directed work teams'.
                       P= 82 Im +/- = 1   8 Cnfd= 0 Cnsn= 0

RANKED BY   >>   CONSENSUS   <<

SIGMA The Policy Analysis Co., Inc.
Washington DC 202 - 328 - 9480

The SIGMA Scenario Generator

This is a TEST of the SIGMA Senario Generator

The Data for this test is dennis.sig. The Seed is 3289480 .

How close is each probability to number of occurrences?

100 Runs were made.

```
 1 . P  =   83 / 81   Occur in  100   Runs
 1 . P  =   83 / 81     ''        100        ''
 2 . P  =   52 / 52     ''        100        ''
 3 . P  =   50 / 50     ''        100        ''
 4 . P  =   88 / 89     ''        100        ''
 5 . P  =   88 / 91     ''        100        ''
 6 . P  =   58 / 51     ''        100        ''
 7 . P  =   66 / 68     ''        100        ''
 8 . P  =   30 / 28     ''        100        ''
 9 . P  =   56 / 56     ''        100        ''
10 . P  =   82 / 82     ''        100        ''
11 . P  =   36 / 28     ''        100        ''
12 . P  =    8 / 6      ''      100          ''
13 . P  =   84 / 86     ''        100        ''
14 . P  =   18 / 21     ''        100        ''
15 . P  =   68 / 68     ''        100        ''
```

For - Seed No. > 9760047 < and the FROSTY.SIG data --

in a   10   year SCENARIO that begins in   1994 ,

THIS IS WHAT HAPPENS !!

1. 1. Aug. 1994 E- 1.Officer is disciplined for a C.O.P. decision.
        T =-797   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
2. 2. Sep. 1996   E-
7.Experience a long response time to a critical incident.
        T =-798   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
3. 3. May 1997 E-
13.M.C.T.'s go on-line with sucessful RMS interface.
        T =-796   P= 18 +I = 4 & -I = 2 Cnfd= 0 Cnsn= 0
4. 4. Oct. 1998 E-
9.City Council funds a Community Service Off. concept.
        T =-797   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
5. 5. Oct. 1998 E-
3.A large cash award for 'failure to supervise' against Department.
        T =-795   P= 18 +I = 4 & -I = 2 Cnfd= 0 Cnsn= 0
6. 6. Mar. 1999 E-
10.C.O.P. officer rejects citizen request for non-crime service call.
        T =-796   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
7. 7. Jun. 1999 E-
4.The Business Community demands a higher level of service.
        T =-797   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
8. 8. Nov. 2001 E- 12.City establishes a Police Oversight Commissic

        T =-798   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
9. 9. Mar. 2002 E- 8.Police Dept. experiences a 10% budget reductic

        T =-799   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
10. 10. Jul. 2003 E-
11.City Council sets police response time standards.
        T =-800   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0

The EVENTS which do NOT Happen

1. E- 2.C.O.P. is changed to a specialTy Assignment

2. E- 5.Employee evaluation instruments to include co.P. dimensions

3. E- 6.Officer's Assn. negotiates a 'pay for Performance' provision

4. E- 14.P.D. manager's supportive of 'self Directed' work Teams'

5. E- 15.Corporal rank eliminated due to empowered   workforce

For   -   Seed No. >   9760033   <   and the FROSTY.SIG data --

in a   10   year SCENARIO that begins in   1994 ,

THIS IS WHAT HAPPENS !!

1. 1. Feb. 1994 E- 12.City establishes a Police Oversight Commission

      T =-585   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
2. 2. Jun. 1994 E- 1.Officer is disciplined for a C.O.P. decision.
      T =-586   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
3. 3. Oct. 1995 E-
10.C.O.P. officer rejects citizen request for non-crime service call.
      T =-587   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
4. 4. Dec. 1995 E-
5.Employee evaluation instruments to include C.O.P. dimensions.
      T =-588   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
5. 5. Jun. 1997 E-
9.City Council funds a Community Service Off. concept.
      T =-589   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
6. 6. Aug. 1998 E- 8.Police Dept. experiences a 10% budget reduction

      T =-590   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
7. 7. Sep. 2001 E- 2.C.O.P. is changed to a specialty assignment.
      T =-591   P= 68 +I = 3 & -1 = 4 Cnfd= 0 Cnsn= 0
8. 8. Jan. 2003 E-
4.The Business Community demands a higher level of service.
      T =-592   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0
9. 9. Oct. 2003 E-
15.Corporal rank eliminated due to empowered workforce.
      T =-593   P= 68 +I = 3 & -I = 4 Cnfd= 0 Cnsn= 0

The   EVENTS   which   do   NOT   Happen   are:

1. E-
3.A large cash award for 'failure to supervise' again

2. E- 6.Officer's Assn. negotiates a 'pay FOR PERFORMANCE provision

3. E- 7.Experience a long response time to a critical incident

4. E- 11.City Council sets police response TIME STANDARDS

5. E- 13.M.C.T.'s go on-line with sucessful RMS interface

6. E- 14.P.D. manager's supportive of 'self directed' work teams.