

**DEVELOPING OFFICER PERFORMANCE EVALUATION SYSTEMS
IN COMMUNITY POLICING AGENCIES BY THE YEAR 2002**

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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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EXECUTIVE SUMMARY

The challenge of this study was to identify future methods of evaluating patrol officer performance based on the changing role of the officer in Community Policing. For futures research purposes, the issue was written in the form of a question. What appraisal methods will be used to evaluate patrol officer performance in mid-size, Community Policing agencies by the year 2002? Three sub-issue questions were formulated to further define the issue. What critical skills and abilities will be evaluated? What measures of performance will be utilized? Who will participate in the evaluation of patrol officer performance?

The report was researched and written in three major sections. In Section One, Defining the Future, emerging trends and significant events that could impact the issue were identified and forecasted for the purpose of identifying alternative futures. The research revealed that in the future there would be an increasing demand for officer communication and problem-solving skills and abilities; that the use of activities as performance measures would stabilize or decrease, while the use of outcomes as performance measures would increase; and the level of citizen involvement in the evaluation of officer performance would increase. The emerging trends were examined against a group of forecasted future events to develop information towards the construction of three alternative future scenarios. The normative scenario was chosen for further study. It describes the desired and attainable future situation in which communication and problem-solving skills become the primary focus of patrol officer performance evaluation. Additionally, the use of qualitative performance measures become at least as important as quantitative measures, and citizens have input into the evaluation of individual officer performance.

In Section Two, A Strategic Plan, a comprehensive plan to attain the desired future as described in the normative scenario was developed. The strategic plan called for the elimination of the officer's monthly statistics sheet to be replaced by a self evaluation administrative report. It required patrol sergeants to obtain citizen input on officer performance through periodic, written citizen follow-ups. The semi-annual evaluation instrument was to be redesigned to be specific to each position, including the position of patrol officer, and was to include the use of qualitative performance assessments. It was important in the strategic plan to involve officers and police union representatives in the design of new evaluation forms and policies.

In Section Three, Transition Management, critical stakeholders were identified. The transition management plan covered action steps necessary to move the level of commitment of individuals in the critical mass to the point necessary to assure success of the strategic plan. It also described the appropriate management structure, line-management hierarchy, to facilitate a smooth transition. Tools and technologies, such as communicating the vision, team building, training, and responsibility charting were identified to minimize the negative impact change has on people within the agency.

In summary, officers in the future will no longer be evaluated based primarily on activities and quantitative data that support the crime control mission. Performance outcomes and qualitative assessments that support the mission of Community Policing will become increasingly more important. New mechanisms of performance accountability, such as administrative reports or performance contracts, will replace the traditional monthly stat sheets. The future evaluation of patrol officer performance will include input from those who had direct observation of performance, including citizens, peers, other supervisors, and even the officers themselves. Evaluation instruments will be redesigned to be specific to the position of patrol officer, focusing on officer communication and problem-solving skills and abilities and allowing for greater use of qualitative performance assessments.

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INTRODUCTION - THE FUTURE OF PATROL OFFICER PERFORMANCE EVALUATION: A CRITICAL ISSUE IN COMMUNITY POLICING

The background of the shift towards Community Policing and the impact the shift has on performance evaluation is presented. The introduction provides a window to the future of the evaluation of patrol officer performance in Community Policing agencies.

SECTION ONE: DEFINING THE FUTURE - WHAT APPRAISAL METHODS WILL BE USED TO EVALUATE PATROL OFFICER PERFORMANCE IN MID-SIZE, COMMUNITY POLICING AGENCIES BY THE YEAR 2002?

Section One covers the environmental scan, futures forecasting, and scenario development in defining the future of performance evaluation in Community Policing agencies.

SECTION TWO: A STRATEGIC PLAN - IMPLEMENTING FUTURE PERFORMANCE EVALUATION METHODS FOR COMMUNITY POLICING OFFICERS

Section Two describes a strategic plan for designing and implementing a new patrol officer performance evaluation system for Community Policing agencies.

SECTION THREE: TRANSITION MANAGEMENT - TRANSITIONING FROM THE PRESENT STATE TO THE DESIRED FUTURE STATE

Section three presents a transition management plan to reduce the uncertainty associated with change and to assure the successful implementation of the strategic plan.

CONCLUSIONS, RECOMMENDATIONS, AND FUTURE IMPLICATIONS

The report concludes with the answers to the issue and sub-issue questions, a list of recommended actions, and projected implications for future study areas.

INTRODUCTION

**THE FUTURE OF PATROL OFFICER PERFORMANCE EVALUATION:
A CRITICAL ISSUE IN COMMUNITY POLICING**

INTRODUCTION

THE FUTURE OF PATROL OFFICER PERFORMANCE EVALUATION: A CRITICAL ISSUE IN COMMUNITY POLICING

The Shift Towards Community Policing

The roots of reactive, traditional law enforcement can be traced back to the reform movement of the 1930's.¹ Due to local corruption and the influence of politics, policing began a revolution characterized by a centralized structure which incorporated the principles of scientific management. Professional aloofness developed as foot patrols gave way to preventative motor patrol. The reform movement sold the public on the police role as crime fighters, and success was determined by how well the agency controlled crime.

Over the next several decades, police agencies pushed themselves towards greater internal control and operating efficiency.² Operating policies regarding recruitment, supervision, training, management, and methods of accountability, along with the nationally adopted Law Enforcement Code of Ethics, were seen as enormous advances towards professionalizing law enforcement. Technological advancements in motor vehicles, telephone systems, communication systems, and data processing increased the efficiency of individual agencies.

Yet the weakness of reactive, traditional policing became apparent during the 1960's and the 1970's amid racial conflict and a soaring crime rate.³ Even though police departments were manned by educated and highly trained officers, the crime rate continued to rise. The number of citizen complaints increased, many of which came from members of minority communities alleging police harassment or outright police brutality. Other negative social issues developed causing factions in

society to polarize. The police found themselves in the middle, only to be the target of society's frustrations.

To end decades of isolation and to promote communication, responsiveness, and representation, law enforcement developed several forms of community relations programs. Community advisory boards were formed, and educational programs were implemented in order to bring the police and the community closer together. New approaches such as team policing became popular. Still, policing remained basically reactive, with officers driving from one crisis to another. Chief officers continued to press for rapid response times in an effort to reduce crime rates.⁴ The mission of the police remained narrow--crime fighting.

In the 1980's, scholars such as Robert Trojanowicz, George Kelling, Robert Wasserman, Mark Moore, and Herman Goldstein, as well as innovative police chiefs such as Lee Brown, Darrel Stephens, and David Couper, led a reform movement that has revolutionized policing. Through their studies and field experiments, they discovered that the traditional policing strategy which emphasized motorized patrol, rapid response, and investigation of crime did not necessarily reduce crime or community fear.⁵ Further, it was discovered that community members and the police were not necessarily concerned with the same issues. The police departments were concerned about the number of robberies, burglaries, and thefts of motor vehicles. Community members, on the other hand, were concerned with order maintenance issues such as a group of winos panhandling at the corner store, or graffiti written on the walls in the neighborhood.⁶ Research also revealed that quality, face-to-face contacts between the police and members of the community

caused the officers to feel less beleaguered and community members to feel safer.⁷ The result was a shift from a traditional policing strategy to a new philosophy called Community Policing.

Community Policing: A New Policing Mission

The birth of Community Policing will cause a dramatic change in the way police departments interact with the public in the 1990's. According to Trojanowicz, Community Policing broadens the police mission beyond the narrow focus of crime control to one that encourages the police to pursue creative solutions to a myriad of community problems, including crime, the fear of crime, disorder, and neighborhood decay.⁸ The goal of this strategy is to ensure the police have continuous, sustained contact with law abiding people in the community so that together they can explore creative, new solutions to local concerns.⁹ Beyond crime control, the mission of Community Policing is to improve the quality of life in neighborhoods, resolve community problems, reduce citizen fear, and increase citizen satisfaction with police services.

There are two fundamental changes for the patrol officer that accompany the new policing mission. First, there is a change in the daily work of the officer from investigating incidents to investigating problems.¹⁰ Community Policing tackles the underlying causes of crime, not just the symptoms, and it encourages officers to become creative, proactive problem-solvers.¹¹ This requires officers to work directly with residents and business owners to identify and resolve community problems. The apprehension of law violators, which may or may not have any direct benefit to the community, will no longer be the primary

focus of the officer's effort. Officers are expected to act as community organizers, dispute mediators, and links between the community and local resource agencies in an effort to improve the quality of life in the neighborhoods.¹² Community Policing requires officers to become outreach and problem-solving specialists, listening to what community members want, not what the police think they should care about.

Secondly, the mission of Community Policing makes fear reduction an important objective which requires the patrol officer to improve the quantity and quality of citizen contacts.¹³ According to Goldstein, the function of the police is not just to solve crime, but to deal with citizen fear and to provide a sense of safety and security to community members.¹⁴ According to Couper, affecting a citizen's perception of crime makes a major difference in the success of an agency. He said a community can have the best crime rate in the world, but it means nothing if the citizens don't feel safe.¹⁵ Community Policing requires officers to develop a police-community partnership through quality contacts with the goal of reducing citizen fear and increasing citizen satisfaction with police services.

The Challenge: Finding a Way to Effectively Evaluate Performance

The shift towards Community Policing and the corresponding change in the policing mission will require significant changes in the management of law enforcement agencies. Police agencies will have to make adjustments in the way they view their role in society, the way they are organized and operate, and the way they handle personnel issues.¹⁶ Specifically, police officers of the future will be highly

skilled professionals who will coordinate the delivery of a wide range of governmental services that affect the quality of life in specific neighborhoods. Police agencies of the future will have to restructure and decentralize, providing for more responsibility and autonomy at the line level. Employment standards will be adjusted to encourage a higher level of education and greater representation of the community. Training will be altered to match the new policing mission. Last but not least, new methods for evaluating performance will be developed to coincide with the changing role of the patrol officer.

The challenge of designing new methods of evaluating patrol officer performance in Community Policing is agreed upon by both academicians and practitioners. Trojanowicz wrote that the shift to Community Policing requires a shift in how the department assesses performance, both the performance of the department as a whole and also how it rates various jobs.¹⁷ Kelling, Wasserman, and Williams said that given the importance of the activities in Community Policing, ways of evaluating the quality with which officers perform those functions would have to be developed.¹⁸ Goldstein said that law enforcement has yet to figure out how to measure the effectiveness of an officer handling problems, which requires the development of new, appropriate measures¹⁹ of patrol officer performance.

Lee Brown wrote that with the change in the role of the patrol officer in Community Policing comes the need for a revised system for evaluating officer performance.²⁰ Peter Horne wrote that there was an on-going dilemma in Community Policing concerning how supervisors can best measure officer performance indicating that performance evaluation²¹ issues would have to be addressed.

Even though traditional policing agencies have been formally evaluating patrol officer performance for decades, no other issue more clearly underscores the difference between traditional policing and community policing.²² As a result, the shift towards Community Policing has brought about a critical, emerging issue: the future evaluation of patrol officer performance.

Scope of the Study

To limit the scope of study, this report will focus on mid-size California police agencies that have adopted or plan to adopt a Community Policing strategy. Community Policing will be defined as a philosophy of policing based on the concept of police officers and citizens working together in partnership to identify and solve community problems related to crime, the fear of crime, social and physical disorder, and neighborhood decay. Through this process, the police develop a new relationship with the law-abiding people in the community, allowing them a greater voice in setting police priorities and involving them in efforts to improve the overall quality of life in their neighborhoods.²³

The report focuses on performance evaluation only for the position of patrol officer as opposed to other positions within police agencies. Even though all positions in the agency contribute in one form or another, the position of patrol officer is arguably the most significant position related to the success of Community Policing.

The future, for purposes of this report, is defined as ten years downline.

Because this is a futures study, the emerging issue is stated in the form of a question. To further define the issue and limit the scope of study, three sub-issue questions are identified.

Issue:

What appraisal methods will be used to evaluate patrol officer performance in mid-size, Community Policing agencies by the year 2002?

Sub-issues:

1. What critical skills and abilities will be evaluated?
2. What measures of performance will be utilized?
3. Who will participate in the evaluation of patrol officer performance?

SECTION ONE: DEFINING THE FUTURE

**WHAT APPRAISAL METHODS WILL BE USED TO EVALUATE PATROL OFFICER
PERFORMANCE IN MID-SIZE, COMMUNITY POLICING AGENCIES
BY THE YEAR 2002?**

SECTION ONE: DEFINING THE FUTURE

WHAT APPRAISAL METHODS WILL BE USED TO EVALUATE PATROL OFFICER PERFORMANCE IN MID-SIZE, COMMUNITY POLICING AGENCIES BY THE YEAR 2002?

ENVIRONMENTAL SCAN

Futures research is a research strategy that seeks to describe and evaluate important alternative images of the future (exploratory, hypothetical, or normative) based upon a well-developed image of the most likely future. Futures research has policy implications in that better decisions can be made by those who take responsibility for planning for the future as opposed to those who react to each unforeseen event.

Futures research requires a review of the historical context that surrounds the issue, the identification of the social, technical, environmental, economic, and political trends that could impact the issue, and an analysis of events likely to occur that could change those conditions. These steps systematically define the future within the context of the study issue.

To initiate this process, three methodologies were used to scan the environment: a literature scan, a written questionnaire, and an expert interview.

Literature Scan

During a six-month period of time, over 50 individual pieces of literature were reviewed (Appendix A). The literature identified four areas that were directly related to the issue of patrol officer performance evaluation: the role of the officer, required skills and abilities, measurements of productivity, and evaluators of performance.

Role of the Officer: Performance standards and productivity measures for a patrol officer have to be based on a thorough job analysis resulting from an appropriate role definition. ²⁴ However, the traditional role of the police officer is changing. The shift towards Community Policing requires agencies to redefine the future role of the men and women in blue.

Officers will no longer be solely crime fighters. Instead, officers of the future will be expected to be proactive problem-solvers. They will need to look beyond the symptoms of crime and disorder, and identify the underlying causes that created the negative situation. They will be expected to work with citizens directly affected by the problem to design creative, new solutions to the problem.

Officers of the future will be outreach specialists who are expected to make direct, daily, face-to-face contacts with the people they serve. Officers will be expected to increase the quantity and quality of citizen contacts in order to develop a partnership relationship with the community based on mutual trust and shared power. They will act as ombudsmen, community advocates, and intermediaries ²⁵ between citizens and government. Officers will be expected to be more community-oriented with the goal of reducing the fear of crime and increasing citizen satisfaction for police services.

Required Skills and Abilities: The changing expectations of performance due to the new role of the patrol officer call for an expansion in the required attributes, qualities, skills, and abilities for the position. Ideally, officers will need to be educated, thoughtful, articulate, culturally sensitive, and knowledgeable in

several disciplines if the police are to maintain peace, order, and a sense of security. This includes sensitivity to different cultures and language skills that allow them to communicate with and understand their clients.²⁶

It appears that the most critical determinant of future success as a patrol officer is superior communication skills.²⁷ Due to the changing policing role and the growing diversity in all communities, a patrol officer will need to be able to communicate with people from all walks of life, both one on one and in groups. Officers will need to possess sufficient communication skills to be able to mediate, negotiate and resolve conflict, both formally and informally. This fact was emphasized after the Rodney King incident in the Christopher Commission report. The report said that Los Angeles Police Department officers are encouraged to command and confront, not communicate. The report recommended additional emphasis be placed on the use of verbal skills and on the development of human relationship skills.²⁸

Officers will also need to develop problem-solving skills and abilities. They will need to be able to seek out information and identify the underlying causes of crime. They will need to possess data-gathering skills, analytical skills, organizational skills, planning skills, and creativity.²⁹ They will need to act as catalysts in bringing the community and local resource agencies together to solve problems and improve the quality of life in the neighborhoods.

Measurements of Productivity: Traditional performance evaluations measure productivity not on outcomes, but on activities. The number of arrests made, citations issued, and calls for service handled are of paramount importance.³⁰ Such traditional, quantitative measures are

easy to compile and seem more objective to both police unions and individual officers; however, such measures are easy to manipulate and fail to measure performance related to dispute resolution, crime prevention, problem-solving, fear reduction, and order maintenance.

The redefined role, the new performance expectations, and the expanded list of required skills and abilities will make the job of a patrol officer in Community Policing qualitatively different in the future.³¹ Qualitative measures as well as quantitative measures will have to be developed to accurately measure an officer's productivity. Qualitative measures that evaluate officers for solving problems--for identifying them and designing creative, innovative responses to eliminate or reduce them--will have to be developed.³²

In the future, it will be important to measure what happens after the officer arrives at the scene. Qualitative assessments concerning the officer's communication skills will need to be developed, as well as measures that include the levels of citizen involvement, fear of crime, citizen satisfaction, and the real or perceived improvement in chronic problems.³³ Rather than simply counting numbers, determination of performance quality will be based on the officer's demonstrated ability to solve problems and involve the community in the department's crime fighting efforts. The criteria will then become the absence of incidents such as criminal offenses, traffic accidents and repeat calls for service.³⁴ Patrol officer performance in the future will be evaluated not only on quantitative data and activities, but also on qualitative assessments and outcomes.

Evaluators of Performance: Traditional performance evaluations are completed by the patrol officer's immediate supervisor, generally a

sergeant, without input from others who have had the opportunity to observe the officer's performance. The sergeant, due to the nature of patrol work, has relatively little first-hand observation of the officer's performance. As a result, sergeants fall into the statistics trap, or they make general ratings based on the extremes of performance, or they rate officers on personal traits and dimensions that management believes are related to good performance. ³⁵

In the future, sergeants will remain the principal evaluators of performance; however, they will likely audit the field performance they do not personally observe giving careful consideration to the degree to which the actions of patrol officers follow the new mission and values of Community Policing. ³⁶ This may require the input of community members who receive police service, or input from other supervisors who have personally observed officer performance. It may also require the use of performance contracts agreed upon by the officer and the supervisor on which to base the audits.

Peers or the patrol officers themselves may participate in the evaluation of performance in the future. Peer evaluations have been shown to be accurate, reliable, and valid as personnel evaluation tools. Peers regularly observe an individual's performance, and as a result, peer evaluations are more likely than supervisor evaluations to be based on direct observation. ³⁷ Self evaluation would allow officers to qualitatively rate their behavior and accomplishments based on personal information of which only they have access. Again, performance contracts may be useful in order to have a basis for self evaluation. A combination of the listed evaluators may also be used in the future.

Questionnaire

A questionnaire was used to determine the status of patrol officer performance evaluation in California law enforcement. The purpose of the questionnaire was to discover trends concerning the shift towards Community Policing, the changing policing mission, new patrol officer performance expectations, additional required skills and abilities, new methods for evaluating performance, and whether citizens had input into the evaluation of patrol officer performance.

The questionnaire (Appendix B) was mailed to 125 municipal law enforcement agencies throughout California. Of the 70 responses (56% return rate), 56 identified their departments as Community Policing agencies. Approximately 73% of the Community Policing agencies (41 out of 56) expressed their service-oriented philosophy in their mission or values statements.

Of the 56 Community Policing agencies, 41 indicated that the expectations of performance for the patrol officer changed with the transition to a Community Policing philosophy. The agencies primarily indicated that officers were expected to proactively interact with community members in an attempt to identify and resolve problems. Officers were expected to use creative problem-solving strategies looking towards the long term solution and using resources not generally used in the past. Expectations concerning the number of arrests and citations were deemphasized, while performance related to the quantity and quality of citizen contacts was emphasized.

Of the 56 Community Policing agencies, 42, or 75%, listed different or additional skills and abilities that were required of a patrol officer under a Community Policing philosophy. Two particular

skills were listed on an overwhelming majority of the responses: communication skills, including listening skills, interpersonal relation skills, and empathy and understanding skills; and problem-solving skills, including organization skills, planning skills, creativity, and the knowledge and application of varied resources.

Of the 56 Community Policing agencies, only 5, or 9%, made any changes in the methods and policies for evaluating patrol officer performance. One designed an evaluation instrument specific to the position of patrol officer that emphasized treating all people with dignity and respect (quality contacts). A second developed a form that emphasized communication skills as the most important skill for the position of patrol officer. Two others designed their evaluations to emphasize problem-solving, and one developed a rating dimension to evaluate an officer's performance in relation to the department's mission and values statements.

Finally, of the 56 Community Policing agencies, only 6, or 11%, allowed for citizen input into the evaluation of patrol officer performance. Four of the agencies used either a written survey or a telephone audit, while only two agencies used in-field, periodic call-backs related directly to the performance of the patrol officer.

In summary, the questionnaire produced similar data as the literature scan in that there is a shift towards Community Policing in California law enforcement. This shift is being reflected in a majority of the agencies' mission and values statements. Performance expectations are changing, requiring additional skills and abilities on the part of the patrol officer. Specifically, patrol officers need to enhance their communication skills and problem-solving skills. For the

most part, California Community Policing agencies have failed to develop new methods for evaluating the new performance expectations, skills, and abilities of the patrol officer. Also, they have yet to consider using citizen input in the evaluation of performance.

Expert Interview

An interview was conducted with Dr. Robert C. Trojanowicz, Director of the National Center for Community Policing, School of Criminal Justice, Michigan State University.³⁸ He indicated, just like the literature and the questionnaire, that patrol officers of the future will need to develop enhanced communication and problem-solving skills if Community Policing is going to be successful.

Dr. Trojanowicz said that statistics, such as the number of arrests made and citations issued, will still be important in the future evaluation of performance. He said such statistics will not be the focus of the evaluation, but only used in the context of the larger problem-solving picture.

Dr. Trojanowicz said that the patrol sergeant will play a critical role in the future evaluation of patrol officer performance. He said sergeants will have to become social scientists, evaluating not only the problem-solving performance of the officer, but also rating how the officer treats community members, keeping in mind that reducing the fear of crime is as important as reducing crime itself. He said that sergeants will have to conduct periodic, in-field call-backs of citizens to determine an officer's communication and problem-solving abilities. He said this information should not only be used to evaluate performance, but to design training to develop performance.

Structuring the Issue

The scanning techniques contributed to the formulation of a Futures Wheel (Illustration 1). The issue, evaluating patrol officer performance, was placed in the center of the Futures Wheel. Primary, secondary, and tertiary impacts were placed on respective rings extending from the center. Based upon the Futures Wheel and personal analysis, the sub-issues were selected from the primary impacts. Other impacts suggested related trends that could become candidates for futures forecasting.

Issue:

What appraisal methods will be used to evaluate patrol officer performance in mid-size, Community Policing agencies by the year 2002?

Sub-issues:

1. What critical skills and abilities will be evaluated?
2. What measures of performance will be utilized?
3. Who will participate in the evaluation of patrol officer performance?

FUTURES FORECASTING

The next step in defining the future is the analysis of significant trends and events likely to impact the issue and sub-issue questions. This process requires three steps: forecasting the relative direction and level of a group of identified significant trends, forecasting the probability of occurrence and relative impact of a group of identified significant future events, and a cross-impact analysis of the trends and events assuming the significant events actually occurred.

A panel of seven law enforcement managers was utilized to brainstorm a list of emerging trends (Appendix C) and a list of future events (Appendix D). This same group was utilized as a consensus panel to reduce the list of trends to six and events to six for forecasting by determining which ones would have the most value to top level strategic planning. To obtain the forecast data, an 11 member Modified Conventional Delphi (MCD) panel was utilized (Appendix E).

Trend Evaluation

A trend was defined for the MCD panel as a series of interrelated events producing a pattern related to the issue/sub-issue package. The panel was asked to forecast the relative direction and level of each trend for five and ten years into the future. Panel members were asked to determine the nominal, "will be" and normative, "should be" forecasts. Any deviation between the nominal and normative forecasts will be of significant concern in the formulation of a strategic plan. Using the panel medians, the results of the MCD panel forecasts are summarized below and displayed in Table 1 - Trend Evaluation. A graphic display of the trend forecasts is contained in Appendix F.

Trend 1 - Demand for Effective Communication Skills and Abilities:

This trend was defined for the MCD panel as the demand for officers to possess the ability to listen empathetically and to communicate positively with a culturally diverse community, both individually and in groups. The panel felt that this trend had increased 20 points over the last five years and will increase at a greater rate in the future. The normative forecast indicated that the demand for effective communication skills and abilities should increase dramatically, doubling in the next ten years. The forecasts suggest that Community Policing agencies should place a high value on effective communication skills in the future and evaluate performance in this area accordingly.

Trend 2 - Demand for Effective Problem-Solving Skills and

Abilities: Trend 2 was defined as the demand for officers to possess the ability to work with community members to identify problems and use available resources to resolve those problems, applying planning and organization skills, and using alternative resources and creativity. The MCD panel felt that this trend had increased significantly over the last five years, rising 40 points, and will increase at a similar rate in the future. Similar to Trend 1, the normative forecast was higher than the nominal. This indicates that Community Policing agencies, in the future, should demand effective problem-solving skills and abilities from their officers and should evaluate performance in this area accordingly.

Trend 3 - Use of Activities as Performance Measures: This trend was defined as the use of the number of arrests made, citations issued, and/or calls for service handled as measures of officer performance for the purpose of completing a performance appraisal. Panel members felt

that this trend had remained constant during the last five years and will remain constant over the next ten years. The normative forecast indicated that the panel felt this trend should decrease 20 points and 50 points five years and ten years from now respectively. These forecasts mean that the use of activities as performance measures will continue to be used at the same rate in the future, but should be deemphasized by Community Policing agencies. It also could mean that Community Policing agencies must play an active role to change this trend if they want to bring about the desired future.

Trend 4 - Use of Outcomes as Performance Measures: This trend was defined as the use of such measures as problems solved, crime reduced, calls for service reduced, citizen fear reduced, and/or citizen satisfaction increased as measures of officer performance for the purpose of completing a performance appraisal. The panel felt that this trend had increased 60 points over the last five years and will continue to increase at the reduced rate of 50 points over the next ten years. The normative forecast indicated that the panel felt this trend should increase at even a greater rate, doubling over the next ten years. The deviation between the nominal and normative forecasts means that Community Policing agencies should assertively change performance appraisal systems to use outcomes as performance measures for the purpose of evaluating patrol officer performance.

Trend 5 - Level of Citizen Involvement in the Evaluation of Officer Performance: Trend 5 was defined as the level of citizen input into the formal evaluation of individual officer performance obtained either through written survey, telephonic audit, or field contact. The MCD panel said that this trend had increased 50 points over the last

five and will increase 10 points and 35 points over the next five and ten years respectively. The normative forecast indicated the panel felt this trend should increase at a slightly higher rate, increasing 50 points over the next ten years. Keeping in mind the results of the questionnaire, these forecasts mean that citizens have had little input into the evaluation of officer performance in the past, but they are having more input now and will continue to do so in the future. The forecasts also mean that Community Policing agencies should take steps to formalize the input of citizens into officer performance so that the desired future can be attained.

Trend 6 - Level of Union Involvement in the Establishment of Performance Evaluation Methods: Trend 6 was defined as the level of police union input or involvement, solicited or otherwise, in the establishment of policies, procedures, and methods for formally evaluating individual officer performance. The MCD panel, with no deviation between the nominal and normative forecasts, felt this trend had increased 25 points over the last five years and would continue to increase at a reduced rate of 20 points over the next ten years. The forecasts mean that the current or a slightly reduced rate of union involvement in the establishment of officer evaluation methods should continue in the future. The forecasts also indicate that Community Policing agencies should solicit union input when developing new methods for evaluating patrol officer performance.

TABLE 1 - TREND EVALUATION **

TREND #	TREND STATEMENT	LEVEL OF TREND (TODAY=100)			
		FIVE YEARS AGO	TODAY	FIVE YEARS FROM NOW*	TEN YEARS FROM NOW*
T-1	Demand For Effective Communication Skills And Abilities	80	100	125 / 160	175 / 200
T-2	Demand For Effective Problem Solving Skills And Abilities	60	100	135 / 175	175 / 200
T-3	Use Of Activities As Performance Measures	100	100	100 / 80	100 / 50
T-4	Use Of Outcomes As Performance Measures	40	100	120 / 150	150 / 200
T-5	Level Of Citizen Involvement In The Evaluation Of Officer Performance	50	100	110 / 125	135 / 150
T-6	Level Of Union Involvement In The Establishment Of Performance Evaluation Methods	75	100	110 / 110	120 / 120

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* FIVE YEARS FROM NOW
"WILL BE"/"SHOULD BE"

* TEN YEARS FROM
"WILL BE"/"SHOULD BE"

Event Evaluation

An event was defined for the MCD panel as a distinct future occurrence which can be pinpointed in time and is related to the issue and sub-issue questions. Panel members were asked to make three forecasts: determine the years until the probability of occurrence first exceeds zero; determine probability of occurrence five years and ten years from now; and determine the degree of impact on the issue area, positive and negative, if the event were to occur. Using the panel medians, the results of the MCD panel forecasts are summarized below and displayed in Table 2 - Event Evaluation. A graphic display of the event forecasts is contained in Appendix G.

Event 1 - CALEA Revises Chapter on Personnel Evaluation

Emphasizing Qualitative Performance Assessments: This event was described to the MCD panel as a revision to the personnel evaluation chapter (Chapter 35) of the Commission on Accreditation for Law Enforcement Agencies emphasizing the use of qualitative assessments and outcomes as performance measurements as opposed to the use of quantitative data and activities. With a high level of disagreement, the panel felt the probability of occurrence was low, only 25% within five years and 50% within ten years. If the event were to occur, the panel felt it would have a high positive impact and a low negative impact on the issue area. This event is related to Trend 3, Use of Activities as Performance Measurements and Trend 4, Use of Outcomes as Performance Measurements. If the event were to occur, CALEA would be setting national standards as to the type of performance measurements to utilize in evaluating patrol officer performance.

Event 2 - Legislature Mandates Citizen Review Boards for all

Police Agencies: Event 2 was described to the MCD panel as a legislative mandate requiring every California law enforcement agency report to a citizen review board for the purpose of stimulating a more cooperative relationship between the police and the public and obtaining public input on policy and operational decisions. The panel felt the probability of this event occurring was the lowest of the six events, only 20% within ten years. If the event were to occur, the panel felt there would be both a positive and negative mid-range impact on the issue area. This event could cause all police agencies to shift towards Community Policing and allow for more citizen input in the development of the subsequent performance appraisal systems.

Event 3 - Major U.S. City Police Agency Requires Periodic

Supervisor/Citizen Follow-ups as an Evaluation Tool: Event 3 was described as a publicly announced requirement by a major U.S. city police agency that its patrol sergeants, on a random basis, recontact citizens who had received police service. The purpose of the follow-ups was to obtain citizen input concerning an officer's communication and problem-solving performance. The information was to be put in written form, discussed with the officer, and subsequently used as input towards completion of the formal appraisal. With a high level of agreement, the MCD panel felt this event had a high probability of occurrence, 60% within five years and a 100% within ten years. The panel felt that if the event were to occur, it would have a high positive and low negative impact on the issue area. This event is related to Trend 5, Level of Citizen Involvement in the Evaluation of Officer Performance. If the event were to occur, other Community

Policing agencies throughout the country would inevitably develop similar requirements for their supervisors.

Event 4 - Major U.S. City Police Union Files Suit Contesting the Validity and Reliability of Qualitative Performance Assessments: This event was described as a suit filed by a major U.S. city police union against its police department claiming a new community policing performance evaluation system, which included the use of qualitative performance assessments, was subjective, unreliable, and invalid. With some disagreement, the MCD panel felt this event had a 50% and 70% probability of occurrence within five and ten years respectively. Panel members felt there would be a low positive and a high negative impact on the issue area if the event were to occur. Event 4 is related to Trend 6 - Level of Union Involvement in the Establishment of Performance Evaluation Methods. If this event were to occur, the development of new methods for evaluating performance of Community Policing officers could be pushed back several years.

Event 5 - National Television Airs a Significant Act of Police Brutality in an Affluent Suburban Community: Event 5 was described as a nationally televised act of alleged police brutality, similar to the Rodney King incident, that occurred in an affluent suburban community. Similar to Event 4 but with a higher level of agreement, panel members felt this event had a 60% probability of occurrence within five years and 70% probability within ten years. The panel, with some disagreement, felt there would be a high negative impact on the issue area if the event were to occur. Since the commission report on the Rodney King incident called for a Community Policing strategy and new forms of performance appraisal and reward for the Los Angeles

Police Department, this event could cause a political push for the same recommendations for all law enforcement agencies. These recommendations could cause a greater shift towards Community Policing and additional research towards the development of new methods for evaluating patrol officer performance.

Event 6 - California Funding Body Establishes Grant Funds for the Research and Design of Performance Evaluation Methods for Community Policing Officers: Event 6 was described as the establishment of grant funds by a California funding body for the purpose of designing a model performance appraisal system for Community Policing officers. The MCD panel, with a high level of agreement, felt this event had a high probability of occurrence, 50% within five years and 90% within ten years. If this event were to occur, the panel felt it would have no negative impact and a high positive impact on the issue area. This event would conceivably lead to the development of a model program that would provide answers to the issue and sub-issue questions.

TABLE 2 - EVENT EVALUATION **

EVENT #	EVENT STATEMENT	YEARS UNTIL PROBABILITY FIRST EXCEEDS ZERO	PROBABILITY		IMPACT ON ISSUE AREA IF THE EVENT OCCURRED	
			FIVE YEARS FROM NOW (0-100)	TEN YEARS FROM NOW (0-100)	POSITIVE (0-100)	NEGATIVE (0-100)
E-1	CALEA Revises Chapter on Personnel Evaluation Emphasizing Qualitative Performance Assessments	3	25%	50%	7	2
E-2	Legislature Mandates Citizen Review Boards for all Police Agencies	5	10%	20%	4	5
E-3	Major U.S. City Police Agency Requires Periodic Field, Written Supervisor/Citizen Follow-ups as a Performance Evaluation Tool	1	60%	100%	8	2
E-4	Major City Police Union Files Suit Contesting the Validity and Reliability of Qualitative Performance Assessments	3	50%	70%	3	7
E-5	National Television Airs a Significant Act of Police Brutality in an Affluent Suburban Community	1	60%	70%	3	7
E-6	California Funding Body Establishes Grant Funds for the Research and Design of Performance Evaluation Methods for Community Policing Officers	2	50%	90%	8	0

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Cross-Impact Evaluation

A cross-impact analysis is an examination of the effect each future event would have on the remaining events and on the trends if the events were to actually occur. The results of the analysis help identify the prominent trends and events for use in developing future scenarios.

To obtain the cross-impact data, three local law enforcement managers were used as a consensus panel. The panel estimated the percentage change, plus or minus, and the years to maximum impact the actor events had on the reactor events and trends. The four most influential actor events were determined based on the number of impacts the events had on the reactor events and trends. These four actor events also had a 70% or greater probability of occurrence which has significant policy implications. Discussed below, these events will be considered as the focus for scenario development. The results of the consensus panel are shown in Table 3 - Cross-Impact Evaluation.

Event 3 - Major U.S. City Police Agency Requires Periodic Supervisor/Citizen Follow-ups as an Evaluation Tool: An event of this significance would have a far reaching effect on the issue. It would legitimize citizen input in the evaluation of individual officer performance, and it would set the stage for other agencies to duplicate the procedure (Event 1, Event 6). The demand for and development of effective communication and problem-solving skills would increase at even a greater rate (Trend 1, Trend 2). Patrol supervisors would become actively involved in making expectations in this area clear, rating performance accordingly, and providing training to develop future performance. Officers would consciously focus on their

communication and problem-solving performance because they would want to receive positive ratings from their supervisors. This enhanced level of performance would be received by all law abiding citizens because the officers would not know which members of the community would be recontacted by the patrol sergeants. Officers would transition from being activity oriented to outcome oriented (Trend 3, Trend 4).

Event 4 - Major U.S. City Police Union Files Suit Contesting the Validity and Reliability of Qualitative Performance Assessments: This event would certainly have a negative impact on the issue area. Other agencies considering new evaluation methods for Community Policing officers would wait to see the outcome of the suit (Event 1, Event 3). It would also cause many Community Policing agencies to stay with the easily identified quantitative performance measurements and established evaluation procedures (Trend 3, Trend 4, Trend 5). A suit of this type would cause all police unions to become more actively involved in the traditional management function of establishing performance evaluation methods (Trend 6).

Event 5 - National Television Airs a Significant Act of Police Brutality in a Suburban Affluent Community: This event was one of the two greatest actor events as determined by the number of impacts on the other events and trends (Event 3 and Event 5). Such an occurrence would outrage the country and possibly erode any confidence the public has in law enforcement. Many would believe that the Rodney King incident was not just an isolated incident that could have only occurred in the inner city, but that the police are out of control and in need of reform. The political system would push for new laws and

standards to control and review police conduct (Event 1, Event 2, Event 3, Event 6). The people would demand a national shift towards community policing and new ways of evaluating and rewarding officer performance (Trend 1, Trend 2, Trend 3, Trend 4, Trend 5).

Event 6 - California Funding Body Establishes Grant Funds for the Research and Design of Performance Evaluation Methods for Community Policing Agencies: If an agency designed and implemented a model evaluation system for Community Policing officers, through the use of grant funds, other departments would duplicate the procedure (Event 1, Event 3). Based on the environmental scan, the model program would focus on outcomes instead of activities and include citizen input on individual officer performance (Trend 3, Trend 4, Trend 5). Because grants generally require supervised research and controlled guidelines, the chances of police union opposition to the model program would be reduced (Event 4, Trend 6).

SCENARIO DEVELOPMENT

The final step in the process of defining the future is the development of alternative future scenarios. Scenarios are fictional narratives based on the forecasted trends and events. They are intended to clarify the causes and consequences of major developments and thereby facilitate the identification and evaluation of relevant policies or actions.

Three scenario modes directly related to the issue and sub-issues are presented below. The exploratory scenario is surprise free. It is largely based on the nominal trend forecasts and it is intended to be an objective based, value free examination of the future. The hypothetical scenario, by asking the question, "What if...?" is based on the occurrence of one or more significant events. In this case, it is intended to be the worst case scenario. The normative scenario contains opinions, values and preferences. It is intended to be the desired and attainable future on which to base the development of the strategic plan.

Exploratory Scenario

It's June 26, 2002, and Chief David Abrecht is sitting at his desk reading the newspaper. He sees that the state legislature is again considering a law requiring that all California police agencies report to a citizen review board. Chief Abrecht realizes that the proposed law has resurfaced as a direct result of the beating of a motorist by police officers in the City of Irvine two years ago. The independent report of the incident opened the eyes of many chiefs of police, including Chief Abrecht.

The independent report indicated that most police agencies and all Orange County police agencies made a shift towards Community Policing in the early 1990's. The report commented, however, that the pattern of police agencies saying one thing and doing another had continued. Specifically, the report said that the role of the patrol officer had been redefined along with the shift towards Community Policing, but the personnel function of most police agencies had failed to change to adequately support the changed policing philosophy.

The report said that officer performance was still being evaluated solely by supervisors using standard checkbox forms. Supervisory appraisals of officers were often based on quantitative data such as the number of arrests made or citations issued. Very few agencies used qualitative performance assessments and outcomes, such as problems solved or crime reduced, as performance measurements. Citizens had little to no input in evaluation of individual officer performance. They received written surveys on agency performance, but the surveys were not tied back to the handling officer thus having little impact in the development of individual officer performance.

The failure to change evaluation methods caused the officers to receive mixed signals. They understood that Community Policing changed the officers' role requiring an increase in the quality and quantity of citizen contacts, but they were still being evaluated based on past traditional policing issues. As a result, their communication and problem-solving skills never fully developed as demanded by the community and the profession under a Community Policing philosophy. In turn, the police/community partnership goal of Community Policing never materialized. Reduction in fear and an increase in citizen

satisfaction never occurred.

The report said these issues contributed to the beating in Irvine. To ensure these types of acts never recurred and to reach the goals of Community Policing, the report recommended mandatory citizen review boards to obtain input from the community on policy, operational, and personnel matters. Chief Abrecht now wished more police agencies had changed their personnel policies and practices, especially performance evaluation, ten years ago during the transition to Community Policing.

Hypothetical Scenario

Chief Abrecht sat at his desk reading a professional journal article on performance evaluation in Community Policing. It's June 26, 2002, and the Chief thought to himself what a disaster a past event had turned out to be. It happened in 1997 and he thought that no one realized the effect it would have on Community Policing five years later. He thought the union suit on patrol officer performance measurements actually caused law enforcement in the year 2002 to be a step behind law enforcement in 1992, the year his police department implemented a Community Policing strategy.

In 1997, all the issues related to patrol officer performance evaluation in Community Policing were coming together. The Commission on Accreditation for Law Enforcement Agencies was considering a revision to Chapter 35, Personnel Evaluation, which would emphasize qualitative performance assessments and outcomes over quantitative data and activities. Out of nowhere, the Los Angeles Police Department police union filed a law suit objecting to the new evaluation system implemented in 1993 after the Rodney King incident (1991) and the

subsequent riots (1992). Specifically, the suit claimed the qualitative performance measurements used under the new evaluation system were unreliable and invalid. Secondly, it said the use of citizen input based on random supervisor/citizen follow-ups was subjective. Finally, the suit claimed the police department had violated the Civil Service Reform Act of 1978 which said in part that agencies must encourage employee participation in establishing performance standards for new appraisal systems.

Many police agencies reacted to the suit. They began to discontinue the use of recently implemented qualitative performance measurements, and they discontinued experiments with supervisor/citizen follow-ups. With their own police unions now questioning new performance evaluation methods, they returned to the use of quantitative data and activities as performance measurements. Qualitative performance contracts between officer and sergeant were discontinued and standard checkbox rating forms were reimplemented.

As a result, officers began to reduce the quantity and quality of citizen contacts that had been emphasized during the first half of the 1990's. They began to focus on the number of arrests made and citations issued in their day to day performance, regardless of the impact the statistics had on the community. Officers began to reject the role of the patrol officer under Community Policing. Why should they spend their unstructured time meeting with community members to identify and resolve problems when their performance was going to be rated based on traditional factors? Officer communication and problem-solving skills never developed as intended under Community Policing.

As Chief Abrecht read the article, he noticed how it stressed the

importance of employee and union participation in the establishment of new performance evaluation methods in support of Community Policing. He wondered if the suit in 1997 could have been avoided if the union had participated in the planning stages of the new evaluation system.

Normative Scenario

Chief Abrecht sat pondering his retirement and thinking back over his career. He was most satisfied that he had brought Community Policing to the agency ten years ago in 1992. He was particularly satisfied with the change in the way officers conducted themselves and he attributed this to the way officer performance was evaluated.

Chief Abrecht thought that two major events contributed to the current system of evaluating patrol officer performance. The first event occurred in 1994 in the City of Houston, Texas. Well publicized, the police department required its sergeants to conduct periodic field contacts with citizens who had received police officer service. The purpose of the follow-ups was to obtain citizen input on individual officer performance. The sergeants would use this information to further develop the officers' communication and problem-solving skills, and ultimately use the information to complete the formal appraisal.

The second event occurred in 1996 when grant funds were established for the purpose of developing a new performance appraisal system for Community Policing officers. The grant gave guidelines that deemphasized activities as performance measurements and emphasized the use of qualitative performance assessments. Information from funded agencies helped establish the methods of performance appraisal at the Chief's department.

Chief Abrecht was also satisfied that an event didn't occur. Agencies that implemented new Community Policing evaluation systems consciously solicited the input of employees and their police unions when redefining the officer's role and designing new methods to evaluate performance. This helped prevent a law suit by a police union contesting the validity and reliability of the new system.

Officers are no longer evaluated based on activities such as the number of arrests made or citations issued. In fact, officers no longer are required to submit monthly stat sheets. It was thought that officers focused on arrests and citations, whether or not they had any benefit to the community, in order to manipulate the sergeants to obtain a positive performance rating.

Instead, officers are evaluated based on outcomes such as crime reduced, calls for service reduced, and problems solved. They are also evaluated based on citizen satisfaction and fear reduction. Sergeants are required to conduct periodic field follow-ups with citizens in order to obtain community input on individual officer performance. Sergeants are instructed to use this information, their personal observation, and input based on direct observation from other supervisors and other officers to further develop officer communication and problem-solving skills and abilities.

Chief Abrecht is very satisfied. Officer communication and problem-solving skills are twice what they were ten years ago. The quantity and quality of citizen contacts has increased; citizen satisfaction has increased; and citizen fear has been reduced. The new performance evaluation system helped develop performance towards the new role of the patrol officer in Community Policing.

SECTION TWO: A STRATEGIC PLAN
IMPLEMENTING FUTURE PERFORMANCE EVALUATION METHODS
FOR COMMUNITY POLICING OFFICERS

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IMPLEMENTING FUTURE PERFORMANCE EVALUATION METHODS
FOR COMMUNITY POLICING OFFICERS

Strategic planning is a rational and logical process of combining resources to achieve an end in an unknown environment. The strategic plan concerns the objectives of the organization, involves other parties whose objectives are impacted, and requires the acceptance of the other parties for successful implementation. It is intended to communicate, convince, and guide members of the organization in support of the stated mission.

In reference to evaluating patrol officer performance in Community Policing agencies, the strategic plan is intended to guide the organization towards the desired future as described in the normative scenario. The strategic plan will require a mission statement, situational and stakeholder analyses, the identification of alternative strategies, selection of a final strategy, the development of an implementation plan, and the design of a negotiation strategy to ensure acceptance of the implementation plan.

The setting for the strategic plan is Garden Grove, California. The Garden Grove Police Department is a mid-size Community Policing agency which serves a population of 145,000 low to middle income residents. The police department was established in 1957 as a traditional agency. It implemented Team Policing in 1976 before shifting to Community Policing in 1991. The Garden Grove Police Department has yet to change its personnel function, specifically patrol officer performance evaluation, in support of the change to Community Policing.

Mission Statement

The mission of the new patrol officer performance evaluation system will be to record work performance for both the department and the officer, giving recognition for good work and providing a guide for performance development where needed. The appraisal report will be used for making personnel decisions related to merit increase, promotion, reassignment, demotion and termination. The evaluation system must be consistent with and support the Community Policing philosophy which attempts to create a feeling of safety and security in community members through effective problem solving.

The new evaluation system should deemphasize activities and emphasize outcomes as performance measurements. It should ensure qualitative performance assessments are at least as important as quantitative performance data. Evaluation methods and appraisal forms should ensure the following skills and abilities are reviewed:

- * The ability of the officer to identify and analyze community problems, and to develop creative, innovative responses to them;
- * The ability of the officer to communicate positively with the public, both individually and in groups, for the purpose of developing community support for the policing mission;
- * The ability of the officer to reduce citizen fear and leave community members with a feeling of satisfaction that their problems and issues were effectively addressed.

Situational Analysis: WOTS-UP

Several social, economic, and political trends and events impact the issue of patrol officer performance evaluation in Community Policing. A thorough analysis of these trends and events, including

the opportunities, threats, strengths and weaknesses (WOTS-UP), will assist in identifying stakeholders, developing alternative strategies, selecting a strategy, and designing an implementation plan. A group of three Garden Grove police managers was used to perform the analysis.

Environment: The increasing number of police agencies shifting to Community Policing is a trend in itself that will support updating performance evaluation systems. The literature refers to the need to adapt the personnel function, specifically the criteria for recognizing performance, to the changing policing philosophy. The problem remains figuring out how to measure officer effectiveness.

The Rodney King incident, the subsequent Christopher Commission report, and the recent riots create the opportunity to abandon traditional performance evaluation criteria and push forward with new measures of performance. The report and the subsequent community activism strongly suggest that a better evaluation system is in order; one that discourages command and confront and rewards communication and community interaction.

Union participation in the "management rights" arena of police organizations is a trend that poses a threat to the issue of performance evaluation. Most California police agencies provide excellent packages in the area of "wage, hours, and other terms and conditions of employment," and, as a result, unions are now attempting to participate in the day-to-day management of agencies. Unions may view suspiciously performance measures that seem more subjective.

Budget cutbacks and other fiscal constraints create a threat to innovative evaluation methods. The trend towards retrenchment may cause city councils and boards of supervisors to demand "efficiency"

from their chief law enforcement officers. The political pressure may cause chiefs to shy away from innovative management practices and rely on traditional measures of efficiency. As a result, traditional agency evaluation measurements such as the Part I crime rate and the emergency response time, both of which are based on patrol officer statistical data, may remain a hindrance to new officer evaluation measurements.

Organization Capability: While other agencies will be experiencing growing pains with the shift towards Community Policing, Garden Grove has a strong foundation in which to test a new performance evaluation system. Since the transition to team policing in 1976, Garden Grove has developed an organizational culture that encourages community participation in day-to-day activities. This culture, along with the fact that each manager's training and experience has been in team policing, will be a real strength in support of abandoning statistical measures of officer performance in favor of qualitative assessments and community participation in the evaluation system.

An additional strength of the Garden Grove Police Department is an established history of high technology. The department has a reputation of pursuing state of the art equipment and management practices which are fully supported by agency employees, city council members, and the community as a whole. Adapting to a changing environment is not unfamiliar to Garden Grove which will assist department personnel and the community in accepting a new performance evaluation system. The City Council may even be willing to abandon the traditional agency "efficiency" measurements in favor of "effectiveness" resulting from an advanced patrol officer performance evaluation system.

An additional organizational strength is the strong relationship between the police union and management. Working with the union, the department management recently initiated an alternative work schedule and a new uniform which immediately increased employee morale. The department announced a new management philosophy that focused on the strengths of the employees, and designed a structure that decentralized the decision making process. The establishment of a new performance evaluation system, if handled appropriately, may be viewed by the union as another positive step towards creating better working conditions, thus mitigating the potential union objection.

A potential organizational weakness in achieving the mission of a new performance evaluation system is the number of agency employees compared to the number of calls for service. The workload per officer at Garden Grove is very high which reduces the unstructured time available for community interaction and problem solving. This would have to be a consideration in defining the officer's role and establishing expectations of performance.

Stakeholder Analysis: SAST

An important part of the strategic planning process is the identification of the key stakeholders. Stakeholders are individuals or groups of individuals who impact the issue, are impacted by the issue, or care about the issue. The goal of the Strategic Assumption Surfacing Technique (SAST) is to identify these stakeholders and attempt to make informed assumptions about their position on the issue. The stakeholder analysis was accomplished with the assistance of five Garden Grove police managers.

Ten stakeholders were identified as key components in the implementation of a new patrol officer performance evaluation system. The assumptions for each stakeholder were described and subsequently graphed for importance and certainty on the Strategic Assumption Map (Appendix H). Four key stakeholders are listed below. Next to each stakeholder is the projected stance on the issue. Some stakeholders will support the issue, others may have mixed feelings, and others will oppose the issue.

Patrol Officers (Mixed): Officers feel performance ratings are primarily based on the number of arrests made and citations written versus qualitative assessments of their work. They desire greater recognition for the quality of their performance. Officers feel monthly stat sheets place pressure on them to produce "numbers" which serves to inhibit their discretion. Officers feel stronger about their enforcement role versus their service role. They desire immediate and documented feedback concerning their level of performance.

Patrol Sergeants (Mixed): Sergeants feel abandoning officer stat sheets in favor of qualitative performance measures would require more work on their part as the rater of officer performance. They feel qualitative assessments of work performance are important, but feel that a police officer's primary role is enforcement oriented, not service oriented. Sergeants desire a performance evaluation system that helps them perform their role of developing officer performance in support of the agency's mission. They feel conducting citizen follow-ups would keep them from doing other requirements of the job.

The Police Union (Oppose): The police union feels personnel actions such as merit increases and promotions should be based on

seniority, not merit and/or performance. The union feels performance evaluations should be strictly objective based on measurable criteria without input from those outside the organization.

Traditionalist Informal Department Leader (Oppose): He feels police officer performance should be based on command and confront as measured in the number of felony arrests made and the number of citations written. He feels Community Policing does not support "real" police work. He feels community members and groups have no business reviewing and evaluating patrol officer performance.

Developing Alternative Strategies: MPD

The Modified Policy Delphi (MCD) process was used to formulate, examine, and select policy alternatives which would enhance the probability of achieving the desired normative scenario. A panel of eight individuals was assembled for this purpose. Once eight alternative strategies were identified, each panel member rated each strategy based on its feasibility and desirability using a four point scale. The scores indicated group consensus and the top three rated strategies, as listed below, were identified for further analysis.

- * Eliminate the monthly stat sheet submitted by patrol officers and tell them that their evaluations will be based on communication skills, problem-solving skills, and the ability to reduce citizen fear and increase citizen satisfaction. In lieu of the monthly stat sheet, patrol officers would submit a monthly administrative report that would serve as a self-evaluation of their performance in these rating dimensions.
- * Require patrol sergeants to conduct documented field contacts of

community members contacted by patrol officers to determine officer communication and problem-solving performance, and to determine the level of community fear and satisfaction. Patrol officers would receive immediate feedback to develop such performance, and they would be evaluated accordingly.

- * Redesign the semi-annual evaluation instrument to be specific to each position (patrol officer, detective, supervisor, etc.) and emphasize expectations consistent with Community Policing (communication skills, problem solving skills, and community satisfaction, etc.) on the patrol officer evaluation form.

Selection of a Final Strategy

After discussing the three strategies, it was determined that a synthesis of the key elements from each would be the most appropriate strategy to achieve the stated mission. The MPD panel felt that a synthesis of not only the elements of the three selected alternatives, but even elements from the other five alternatives, would be best in designing a complete evaluation system.

The following are components of the final strategy to achieve the desired future as described in the normative scenario.

- * Eliminate the monthly stat sheet submitted by patrol personnel and advise officers that their performance evaluations would be primarily based on their communication skills, their problem-solving skills, and their ability to reduce citizen fear and increase citizen satisfaction.
- * Require patrol officers to submit a monthly administrative report that would serve as a self-evaluation of their

performance. This report would be subsequently used by supervisors as input towards the completion of the semi-annual evaluation. The report would cover, at a minimum, the quantity and quality of citizen contacts and the progress towards the resolution of identified community problems.

- * Require patrol sergeants to conduct interviews of a sample of community members contacted by their subordinates to determine the officers' communication and problem-solving skills and their ability to reduce citizen fear and increase citizen satisfaction. Each call back interview would be reduced to written form, discussed with the appropriate officer with the intent of developing performance, and signed and dated by both the sergeant and the officer. The documented community input would subsequently be used by the supervisors towards completion of the semi-annual evaluation.
- * The semi-annual evaluation instrument should be specific to each position (patrol officer, detective, supervisor, etc.). The patrol officer evaluation would emphasize communication skills and abilities; the ability to identify, analyze, and respond to problems; and the ability to reduce citizen fear and leave community members satisfied. These three dimensions, at a minimum, would be recorded through the use of a narrative based on the following forms of input: first hand observation of incidents or on-going situations by the supervisor, documented direct observation of performance reported to the supervisor by other supervisors and peers, monthly administrative reports submitted by the officers, and documented citizen follow-ups

conducted by the supervisor. In this way, qualitative assessments of performance based on activities and outcomes can be recorded.

- * Advise all personnel, including managers and supervisors, that the commitment demonstrated towards the values of Community Policing, as documented in performance evaluations, would weigh heavily in personnel actions such as merit increases, reassignments and promotions.

Implementation Plan

Before negotiating acceptance of the strategy by the key stakeholders, it is important to develop an implementation plan. In this sense, the implementation plan contains the steps or components necessary to successfully accomplish the mission in the target setting. Once the implementation plan is identified, the realities of the negotiation process can begin.

The final strategy contained both policy and procedural issues. In that respect, the Chief of Police should announce the policy changes while the patrol commander should ensure the smooth transition of the corresponding procedural matters.

- * The Chief of Police should announce to the organization, both verbally and in writing, that the patrol officer performance evaluation system needs to be updated to be consistent with the values and expectations of Community Policing. He should state the reasons (trends and events) the change is necessary.
- * The Chief of Police should announce that the organization is strongly considering eliminating the patrol officer monthly stat

sheet discussing both the pros and the cons. He should state that the patrol commander will be working with personnel to update the evaluation system to meet both the needs of the individual and the organization. He should ask for employee assistance indicating that future performance evaluations, which should rate performance consistent with the values of Community Policing, would weigh heavily in personnel actions such as merit increases, reassignments and promotions.

- * The patrol commander should select a small group of officers and sergeants to test certain components of the strategy. One shift of sergeants and officers from one team area could be identified as the test group. This group would be told to immediately stop submitting monthly stat sheets. They would be told that in place of statistics, their performance would be rated on their ability to identify, analyze and respond to community problems, their communication skills and abilities, and their ability to reduce citizen fear and leave community members satisfied.
- * The test group of officers and sergeants would be asked to work out the details of a monthly administrative report to be submitted by the officers concerning their work performance. This report would need to cover officer performance towards the identification and resolution of community problems, including how the problems were identified, the involvement of community members, and what resources and techniques were utilized.
- * The sergeants of the test group would be told that in order to fairly rate the officers in the above performance dimensions, they would need to regularly conduct interviews of community

members who have been contacted by the patrol officers. They would be directed to work with the test group officers to design a form listing specific questions to guide the interview and to record community input of officer performance. The form would also be used to guide and record the subsequent performance counseling between the officer and the sergeant.

- * After implementation of the citizen call back procedure, the lieutenant managing the test group should evaluate the program by interviewing test group personnel and by calling a sample of citizens who have participated in the rating of officer performance. The officers should indicate whether the procedure helped them focus their performance towards the values of Community Policing. The sergeants should have input as to the value of the procedure in rating officer performance in dimensions consistent with Community Policing. The citizen interviews should verify whether or not community support for the policing mission increases as a result of the program.
- * After testing the new procedure for one rating period (six months), members of the test group would meet to make any changes in procedure and form design. Additionally, the group would begin working on designing a new semi-annual evaluation instrument specific to the position of the patrol officer. Feedback from the citizen interviews and the initial evaluation of the program by the lieutenant would undoubtedly be valuable.
- * After the semi-annual rating form was implemented, the test group lieutenant would again interview department personnel to determine whether the mission of the program was accomplished.

After making any appropriate changes, the forms and procedures would be implemented department wide.

Negotiation Strategy

Negotiating acceptance of a plan may often be as important, if not more important, than the plan itself. A brilliant idea developed into a brilliant plan may still fail if not properly sold to those affected by the plan. The organizational position and the key stakeholders' positions must be kept in mind as the process of negotiation begins. The challenge lies in anticipating, understanding, and reacting to human behavior in order to develop stakeholder ownership.

The successful implementation of the plan will be based on the ability of the Chief and Police and the patrol commander to negotiate leverage. In doing so, resistance to the plan by the key stakeholders can be overcome through compromise and win-win strategies.

The Chief of Police, in his initial announcements concerning the evaluation system, should use rationality as leverage. He can explain the need for an updated performance evaluation system using the most obvious trends and events such as the Rodney King incident, the Christopher Commission report, and the subsequent riots. He could express his convictions in a firm manner. He could also gain leverage by suggesting what could happen if the agency chose not to adjust its performance expectations and evaluation system for the future. The threat of a civilian review board to oversee police management and operations would help gain support for the mission of a new evaluation system. The key stakeholders would also have a better understanding and appreciation for the need of citizen input.

The Chief of Police could present the proposal to eliminate the monthly stat sheet as a win-win situation. The officers would feel less supervisory pressure, and the organization would receive a higher quality work product. Since most of the officers would be very much in favor of eliminating the stat sheet, the actual act itself helps the Chief of Police and the patrol commander gain leverage for the rest of the proposal. The monthly administrative report, for example, would be easier to sell to the officers. They could be told the report would be their opportunity to communicate the quality and outcomes of their performance that often goes unrecognized.

The patrol commander should use psychological influence to gain leverage. He could talk about the need to have those most impacted by the proposal on committees to assist in determining the respective policies and procedures. He could express flexibility in his pursuit of a fair and equitable evaluation system. He could ask for feedback from the test group to ensure the needs of the officers and the sergeants were being met, and their concerns were being handled. Finally, he could express his strong commitment to maintaining enforcement dimensions that are not inconsistent with the values of Community Policing on the updated semi-annual evaluation instrument.

The patrol commander could use compromise as a strategy to develop the forms, policies, and procedures of the proposal. He could use the information and support developed from the test group to meet with the patrol officers, patrol sergeants and the union to discuss and finalize important issues.

If rationality and psychological influence failed in at least gaining some support and cooperation from the informal traditionalist

leader, the patrol commander would have to use power as leverage in dealing with him. The proposal could not be withdrawn due to one individual or a small group of individuals, and the bottom line is that the establishment of performance expectations and the subsequent evaluation of performance is a management function. The sanctions for failing to meet standards and failing to adjust to a changing policing philosophy would have to be explained to him. This would only be a last resort, and it could only occur after the Chief of Police and the patrol commander followed the implementation plan and negotiation strategy.

SECTION THREE: TRANSITION MANAGEMENT
TRANSITIONING FROM THE PRESENT STATE
TO THE DESIRED FUTURE STATE

SECTION THREE: TRANSITION MANAGEMENT

TRANSITIONING FROM THE PRESENT STATE TO THE DESIRED FUTURE STATE

The task does not end with the development of a strategic plan and an implementation schedule. A transition management plan needs to be developed in order to minimize the negative impact change has on people working within the organization. The transition management plan helps the organization develop the commitment and structure necessary to manage the change and implement the strategic plan. Three components make up the transition management plan: development of a commitment strategy through the identification of the critical mass, development of a management structure to facilitate change, and analysis of the technologies and tools necessary to implement the plan.

Commitment Strategy

The first step of the transition management plan is to identify the critical mass, those key individuals whose support is necessary to ensure success of the strategic plan. For each individual, it is necessary to determine their current level of commitment to the plan and the minimum level of commitment required to secure success of the plan. In this case, five individuals make up the critical mass.

Table 4 - Critical Mass lists the five individuals in the critical mass. An "X" designates where the individual stands now regarding the change, and an "O" designates the level of commitment necessary for success of the plan. The arrows indicate the direction of commitment change to be brought about through management action. Following Table 4

is a description of each individual's current level of commitment to the plan, the minimum level of commitment required of them, and the approach that might be used to achieve that necessary commitment.

TABLE 4 - CRITICAL MASS

Actors in Critical Mass	Block Change	Let Change Happen	Help Change Happen	Make Change Happen
Chief of Police		X →		O
Patrol Commander			X →	O
Test Group Lt.		X →		O
Inf. Leader Sgt.	X →	O		
Union Pres. Sgt.		X →		O

Chief of Police: The Chief of Police must support the change in the performance evaluation system. It is the vision of the chief that led to the shift towards Community Policing in the first place, and it is only natural that the evaluation system change accordingly. The chief currently would allow the change to occur to support Community Policing; yet, the chief should help the change occur. The chief should help the change occur by continuing the vision that would create the environment to support the change.

Patrol Commander: The focus of Community Policing is on the patrol function. As the main advisor to the Chief of Police and the developer of the implementation plan, the patrol commander would want to help the change happen by supporting the test group. Yet, someone needs to take responsibility to make this change happen. Too many

stakeholders would be concerned about the radical departure from traditional evaluation practices. Strong leadership would be necessary to maintain support for the issue from line personnel. The Chief of Police would have to meet one-on-one with the patrol commander and make it clear to him (awareness raising) that this issue is extremely important to the overall success of Community Policing at the agency. The patrol commander would have to make a commitment to make this change happen through effective leadership and "management by walking around." He would have to ensure involvement of line personnel and union representatives in the development of the new evaluation instruments and policies, and he would have to overcome resistance from traditional informal leaders without taking away their dignity.

Test Group Lieutenant: The role of the test group lieutenant is to monitor, follow-up, and evaluate the progress of the test group. He would currently be committed to let the change happen, but it would be necessary for him to help the change happen. As the management person with day-to-day contact with test group personnel, he would continually be asked to solve the problems encountered during the test period. As a result, he would need to have a greater commitment to the plan. The Chief of Police and the patrol commander would have to meet with the test group lieutenant, educate him (awareness raising) on the long term benefits of the issue, and emphasize the importance the plan has to the organization.

Informal Leader Sergeant: The traditionalist informal leader in the organization is a patrol sergeant. As it stands now, he would attempt to block the change because he feels command and confront, not effective communication, is the sign of a good patrol officer. As a

traditionalist, he is against the shift towards Community Policing. The patrol commander would need to meet with this person, educate him, and explain the individual costs to members in organizations who fail to adjust to environmental trends and events. The purpose would not necessarily be to seek this person's assistance, but to change his level of commitment to allow the change to happen. The patrol commander would have to try to make him understand that the plan is not optional, and it is much better than other alternatives or consequences, such as outside people coming into the organization and imposing change. If these action steps failed, the patrol commander would have to resort to forced collaboration mechanisms.

Union President Sergeant: The labor union president is a patrol sergeant who initially would neither support nor resist the implementation plan. As union president, he would be the person officers would go to if they resisted the change. It would be very important to the success of the plan to change the union president's level of commitment to help change happen. The patrol commander should not only educate him, but more importantly, make him part of the test group. In doing so, the union president would have direct input into the development of the new evaluation instruments and policies, and his increased understanding of the issue would allow him to better respond to complaints from the officers.

Transition Management Structure

To facilitate the successful implementation of the strategic plan, a separate structure and form of management are often required. There are several change-management structure options, each dependent upon

the uniqueness of the change issue and the implementation schedule. In this case, a line-management hierarchy would be most appropriate.

The strategic plan called for a test period of approximately one year involving a group of line personnel. The group was going to be commanded by one of three patrol team lieutenants, and consisted of one shift of officers on that team. After approximately six months, the test group was going to be expanded to include the entire team of officers. During the test period, the officers and sergeants of the test group were going to be directly involved in the design and implementation of the new evaluation system. At the conclusion of the test period, the new rating system was going to be implemented for all patrol officers.

The line-management hierarchy would be the most appropriate structure because the positions of the patrol commander, the test group lieutenant, and the test group sergeants would be "job-enriched" while maintaining their regular job functions. These officers would be given change-management responsibilities in addition to their standard operating responsibilities. Since the change issue is a redesign of a current management function, and since the current management structure would allow for a change-management structure within its hierarchy, there would be no need to separate the two. Finally, since the union president and the informal traditionalist leader (both sergeants) work patrol, they could either be selected to be part of the test group or intentionally left out, whichever turns out to be more advantageous to the agency. There would be no need to develop a separate management structure to account for the change issue or the critical mass.

Transition Management Technologies

The process of implementing change can be among the most feared of all organizational endeavors. It is the fear of the unknown and the uncertainty of the future that causes employees to resist change. A variety of techniques can be used to minimize this resistance and help facilitate implementation of the strategic plan. Fundamental to all these techniques is the involvement of employees in the change process.

Communicating the Vision: The Chief of Police, in his role as chief executive, should announce to the organization, both verbally and in writing, his vision of the future state with regard to patrol officer performance evaluation. He should also make it clear that line personnel will be actively involved in a test period before the future state is attained. In doing so, the chief reduces the uncertainty associated with change, and he involves the rank and file employees in the change process. Individuals who understand the vision and who are involved in the change process become more committed to the change and develop a sense of ownership in the future state. The patrol commander should reiterate the vision at each opportunity and ensure police managers "walk the talk."

Team Building: Prior to beginning the test period, the patrol commander should call a meeting of test group personnel and all other patrol personnel interested in providing input on the new evaluation system. The patrol commander would use this meeting to clarify roles and responsibilities, and to focus on readiness, capability, and commitment development. The union president should be in attendance as should the informal traditionalist leader. The meeting would be used as a time to educate the group and to seek its input and advice. In

some sense, the patrol commander would be allowing line personnel to control their own destiny within set parameters. The meeting would be used as a time to build trust between line and management during a time of change. It would serve to break down interpersonal barriers and enhance communication and understanding.

Training: Prior to the test period, a comprehensive training program should be developed. The program should be specifically designed to inform stakeholders of the deficiencies of the present evaluation system and convince them of the need to change. Informed stakeholders are more likely to support the change than uninformed stakeholders. Also, the program should provide in-service training for the officers and sergeants to support the new performance expectations and performance evaluation practices of Community Policing.

Responsibility Charting (RASI): The patrol commander should call a second meeting involving all test group personnel. With input from all present, he should clarify the goals, tasks, responsibilities, and timetables for the entire implementation plan. The meeting should produce a graphic display (Appendix I) of all specific action steps, the persons or groups responsible, and the due dates. In doing so, the critical participants in the change process are clear as to their specific responsibilities.

Evaluation: Evaluation mechanisms should be established to determine the on-going and final status of the test group. Specifically, the test group lieutenant should evaluate the citizen follow-up program by interviewing test group personnel and by calling a sample of citizens who were recontacted. The officers should be able to indicate whether the procedure helped them focus their performance

towards the values of Community Policing. The sergeants should have input as to the value of the procedure in rating officer performance in dimensions consistent with Community Policing. The citizens should verify whether community support for the agency will increase as a result of the program. Each new procedure and form should be tested and evaluated. Through rigorous evaluation mechanisms, the final forms, policies, and procedures should help the department achieve its mission and attain the desired future state.

CONCLUSIONS, RECOMMENDATIONS, AND FUTURE IMPLICATIONS

CONCLUSIONS, RECOMMENDATIONS, AND FUTURE IMPLICATIONS

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

Answers to the Issue and Sub-issue Questions

The Issue: What appraisal methods will be used to evaluate patrol officer performance in mid-size, Community Policing agencies by the year 2002? The shift towards Community Policing will cause a dramatic change in the way police departments interact with the public in the future. Community Policing will broaden the policing mission beyond the narrow focus of crime control to one that encourages the police to pursue creative solutions to a myriad of community problems, including crime, the fear of crime, disorder, and neighborhood decay. The goal of this strategy is to ensure the police have continuous, sustained contact with law abiding people in the community so that in partnership they can improve the quality of life in neighborhoods through effective problem-solving.

The shift towards Community Policing and the corresponding change in the policing mission will cause law enforcement agencies to redefine the role of the patrol officer in the future. The new role will require officers to increase the quantity and quality of citizen contacts, and it will encourage them to become creative, proactive

problem-solvers. Officers will be expected to act as community organizers, dispute mediators, and links between the community and local resource agencies in an effort to improve the quality of life in neighborhoods, reduce citizen fear, and increase citizen satisfaction with police services.

The new role of the patrol officer will force agencies to develop new methods of evaluating performance in the future. Officers will no longer be evaluated based primarily on activities that support the crime control mission. Quantitative data such as the number of arrests made, citations issued, or calls for service handled will be deemphasized as performance measurements in favor of qualitative performance assessments that support Community Policing. The outcomes of officer performance, such as a reduction in crime or calls for service, the resolution of community problems, and the levels of citizen fear and citizen satisfaction, will play a larger role in the future evaluation of patrol officer performance.

Current performance accountability mechanisms, such as monthly stat sheets, may still be used in the future, but steps will be taken to minimize or eliminate the impact they have on officer performance. They now serve as a tool for officers to manipulate their supervisors into giving high ratings based on high levels of activities, regardless of the impact these activities have on community problems. In the future, new mechanisms of performance accountability, such as monthly administrative reports, will be submitted by officers recording the quantity and quality of citizen contacts and the identification and resolution of community problems. These reports will be used by supervisors in making qualitative assessments of officer performance.

The future evaluation of patrol officers will include input from community members who have had direct observation of officer performance. To obtain this input, patrol sergeants will need to talk with citizens who had direct contact with police officers. Sergeants will use this information to assist in evaluating performance and developing future performance consistent with Community Policing.

Community Policing agencies of the future will redesign their performance evaluation instruments to be specific to different positions, including the position of patrol officer. The new forms and policies will have to allow for qualitative assessments of performance in rating dimensions that support the values of Community Policing.

Sub-issue 1: What critical skills and abilities will be evaluated?

The changing expectations of performance due to the new role of the patrol officer call for an expansion in the required attributes, qualities, skills, and abilities for the position. Ideally, officers will need to be educated, thoughtful, articulate, culturally sensitive, and knowledgeable in several disciplines if the police are to maintain peace, order, and a sense of security.

The two most critical skills and abilities to be evaluated in the future are communication skills and problem-solving skills. Due to the changing policing role and the growing diversity in all communities, a patrol officer will need to be able to communicate with people from all walks of life, both one on one and in groups. Officers will need to be evaluated on their ability to mediate, negotiate, and resolve conflict, both formally and informally. The performance evaluation system should be used to evaluate officers' verbal skills and to guide the development of their human relationship skills.

Officers will also be evaluated on their problem-solving skills in the future. Officers will need to develop their ability to seek out information, to identify the underlying causes of crime, and to develop creative responses to persistent community problems. They will need to act as catalysts in bringing the community and local resource agencies together to solve problems and improve the quality of life in the neighborhoods. They will be evaluated based on their data-gathering skills, analytical skills, organizational skills, planning skills, and creativity.

Sub-issue 2: What measures of performance will be utilized?

Traditional performance evaluations measure productivity not on outcomes, but on activities. The number of arrests made, citations issued, and calls for service handled are of paramount importance.

In the future, qualitative measures as well as quantitative measures will be utilized to accurately evaluate officer performance. Qualitative measures that reflect officer performance in solving problems--in identifying them and designing creative, innovative responses to eliminate or reduce them--will become part of the evaluation system. Qualitative assessments concerning officer communication skills will also be utilized.

Performance measures in the future will not only be quantitative data and activities, but also qualitative assessments and outcomes. Rather than simply counting numbers, determination of performance will become the absence of incidents such as criminal offenses, traffic accidents and repeat calls for service. Measures will include the levels of citizen involvement, fear of crime, citizen satisfaction, and the real or perceived improvement in chronic problems.

Sub-issue 3: Who will participate in the evaluation of patrol

officer performance? Traditional performance evaluations are completed by the patrol officer's immediate supervisor, generally a sergeant, without input from others who have had the opportunity to observe the officer's performance. The sergeant, due to the nature of patrol work, has relatively little direct observation of the officer's performance.

In the future, sergeants will remain the principal evaluators of performance; however, they will likely audit the field performance they do not personally observe giving careful consideration to the degree to which the actions of patrol officers follow the new mission and values of Community Policing. This will require the input of community members who receive police service, or input from other supervisors who have personally observed officer performance. It may also require the use of performance contracts agreed upon by the officer and the supervisor on which to base the audits.

Peers or the patrol officers themselves may participate in the evaluation of performance in the future. Peer evaluations have been shown to be accurate, reliable, and valid as personnel evaluation tools. Peers regularly observe an individual's performance, and as a result, peer evaluations are more likely than supervisor evaluations to be based on direct observation. Self evaluation would allow an officer to qualitatively rate his behavior and accomplishments based on personal information of which only he has access. Again, performance contracts may be useful in order to have a basis for self evaluation. Officers may be required to submit monthly administrative reports that document their progress towards the resolution of community problems. A combination of the listed evaluators may also be used in the future.

Recommended Actions

As the 21st century approaches, California law enforcement will experience a shift towards Community Policing. The new policing philosophy creates the opportunity for the development of a new patrol officer performance evaluation system. To take advantage of this opportunity, it is suggested that local Community Policing agencies pursue the following recommendations.

- * The priorities, issues, and philosophies of Community Policing should be reflected in agencies' mission statements, values statements, and policy and procedures statements. A new organizational culture in support of Community Policing should be developed in each agency.
- * The role of the patrol officer should be redefined in support of the mission and values statements, and adequately described to organizational and community members.
- * Agencies should make clear the new expectations of performance that result from the new role of the patrol officer. The pursuit of a police/community partnership for the purpose of effective problem-solving should be a clear expectation.
- * Department personnel should be trained in Community Policing principles. There should be specific training to develop officer communication and problem-solving skills and abilities.
- * Agencies must develop new performance evaluation systems which provide rewards and sanctions for individuals who carry out the new policing mission. These systems must include mechanisms to assess community input on individual officer performance, and the development of qualitative performance assessments.

Implications for Future Study

The shift towards Community Policing impacts many issues beyond performance evaluation. In the personnel function alone, the selection and training of patrol officers will require future study. Since the skills and abilities required to perform the job under Community Policing become different and arguably more difficult than under traditional policing, shouldn't the methods of recruitment and selection change accordingly? Will the minimum requirements to become a police officer change by the year 2002? How will the shift towards Community Policing impact pre-service and in-service training?

The shift towards Community Policing could impact the entire management function. How will agencies be structured in the future? Will the push for decentralization cause agencies to abandon the ties to militaristic hierarchies and position titles? If there is a shift towards shared decision making and a participative management style, what impact will this have on the management of disasters, crises, or other tactical situations?

The evaluation of agency effectiveness will become a study issue. How will agency success be defined in the future? How will the police resolve conflicting demands from a myriad of community interests? How will conflicts with elected politicians who support traditional agency performance measures be resolved?

Police managers throughout the country face great challenges in the future. Each should remember that better decisions can be made by those who take responsibility for planning for the future as opposed to those who react to each unforeseen event.

APPENDIXES

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QUESTIONNAIRE
EVALUATING PATROL OFFICER PERFORMANCE
IN COMMUNITY-ORIENTED OR PROBLEM-ORIENTED POLICING AGENCIES

1. Is your agency considered a community policing agency or a traditional policing agency?

2. If your agency has a community policing philosophy, what service-oriented title, if any, is used, i.e. Community Oriented Policing, Problem Oriented Policing, Team Policing, etc.?

3. How is your community policing philosophy emphasized in your mission statement, values, goals and objectives? Please forward a copy of your mission statement and a copy of your values statement.

4. Have the expectations of performance for the patrol officer changed along with the change to a community policing philosophy? If so, please describe how.

5. Please identify the different, special or additional skills and abilities that are required of a patrol officer under a community policing philosophy, if any, as opposed to a traditional, enforcement philosophy.

6. Did the methods, policies, criteria or forms for evaluating patrol officer performance change along with the change to a community policing philosophy? If so, please describe how and provide a copy of the new performance evaluation policy and forms.

7. Do citizens in the community have input into the evaluation of patrol officer performance? If so, please describe how. If not, has this issue been considered in your agency?

PERSON COMPLETING QUESTIONNAIRE

AGENCY NAME AND ADDRESS: _____

NAME: _____

RANK/POSITION: _____

PHONE: _____

Would you like a copy of the results of the questionnaire? _____

LIST OF EMERGING TRENDS

Demand for Effective Communication Skills and Abilities

Demand for Effective Problem Solving Skills and Abilities

Level of Subjectivity of Performance Measurements

Use of Quantitative Performance Measurements

Use of Qualitative Performance Assessments

Use of Citizen Satisfaction as a Performance Measurement

Use of Citizen Complaints as a Performance Measurement

Use of Citizen Commendations as a Performance Measurement

Use of Problem Solving as a Performance Measurement

Use of Communication Skills and Abilities as a Performance Measurement

Use of Activities (Arrests, Cites, F.I.'s and CFS Handled) as Performance Measurements

Use of Outcomes (Problems Solved, Crime Reduced, CFS Reduced and Citizen Satisfaction Increased) as Performance Measurements

Level of Citizen Involvement in the Evaluation of Officer Performance

Level of Employee Involvement in The Evaluation of Officer Performance

Level of Union Involvement in the Establishment of Performance Evaluation Methods

Level of Political Involvement in Police Operations

Level of Community Involvement in Police Operations

Level of Media Scrutiny of Police Behaviors and Practices

Level of Verbal Communications Training

Level of Cultural Awareness Training

Level of Problem-Solving Training

Level of Workforce Diversity

Level of Community Diversity

Level of Officer Formal Education

LIST OF CRITICAL EVENTS

National Police Performance Evaluation Standards Adopted

CALEA Revises Chapter on Personnel Evaluation Emphasizing Qualitative Performance Assessments

POST Establishes Standards for Performance Evaluation Procedures for Community Policing Officers

Court Mandates Videotaping of all Police/Citizen Contacts

Court Mandates Audio Recording of all Police/Citizen Contacts

Court Mandates Strictly Objective Performance Evaluation Measurements

Court Mandates Police Ethnic Composition Match Their Communities

Court Upholds Written Supervisor/Citizen Follow-ups as Valid Indicators of Officer Performance

Legislature Mandates Cultural Awareness Training for Police Agencies

Legislature Mandates Citizen Review Boards for all Police Agencies

Legislature Adopts Bill Requiring Legal Representation During Performance Evaluation Interviews

Legislature Mandates Verbal Communications Training for Police Personnel

Major U.S. City Police Agency Requires Periodic, Field, Written Supervisor/Citizen Follow-ups as a Performance Evaluation Tool

Major City Police Union Files Suit Claiming Citizen Input Into Officer Performance Evaluation to be Invalid

Major City Police Union Files Suit Contesting the Validity and Reliability of Qualitative Performance Assessments

National Television Airs a Significant Act of Police Brutality in an Affluent Suburban Community

Major Riot in a Suburban Community

Violent Crime Rate Reaches a 10-Year High

DOJ Reports Citizen Complaints Re: Abusive Language Hits 10-Year High

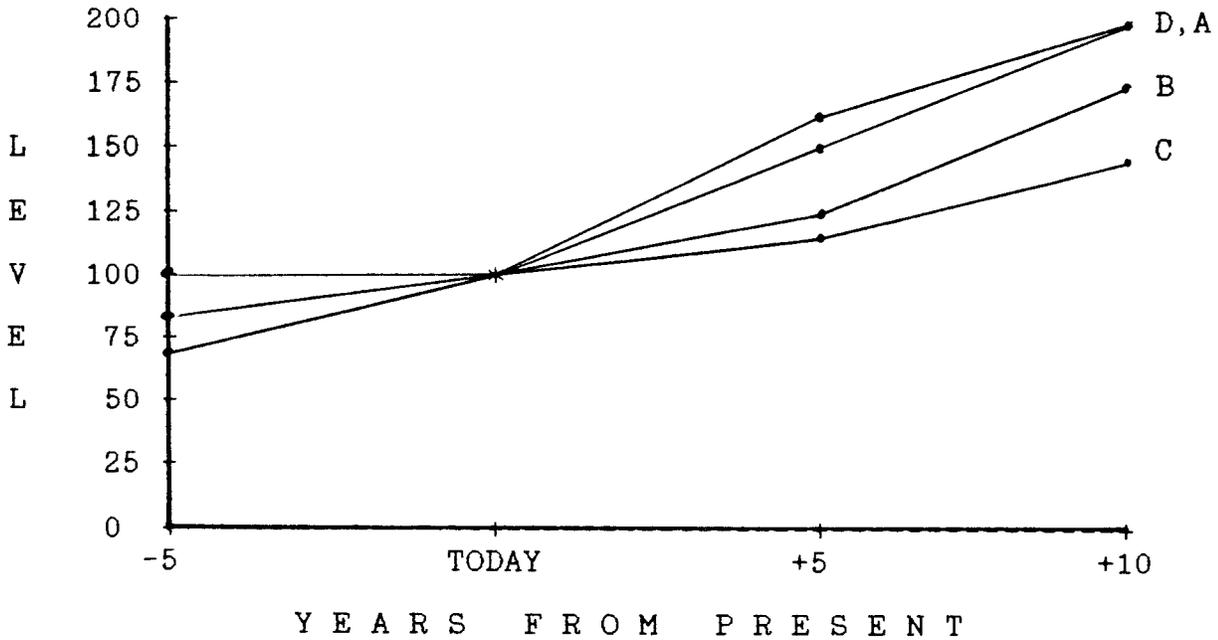
Law Enforcement Funding Body Establishes Grant Funds for the Research and Design of Performance Evaluation Methods for Community Policing Officers

MODIFIED CONVENTIONAL DELPHI PANEL

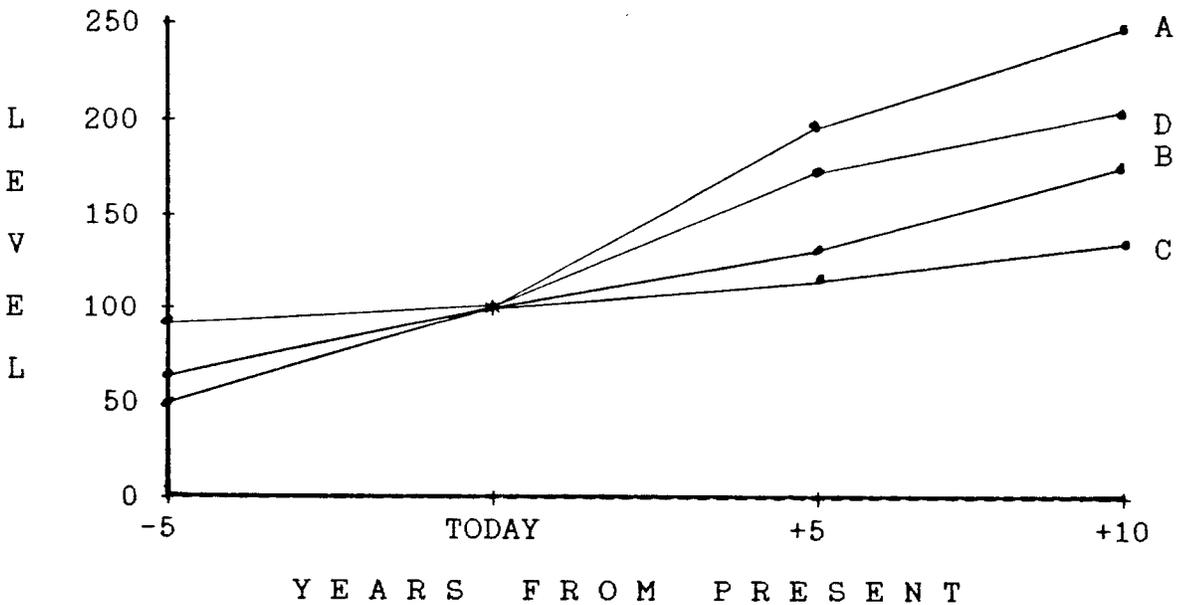
Michael Blakely, Lieutenant, San Diego Police Department
Dr. James Farris, Professor, California State University - Fullerton
Dr. David Jamieson, Jamieson Human Resources Consultant Group
Peter Jensen, Captain, Santa Ana Police Department
Lawrence Lewis, Captain, Corona Police Department
Douglas Milender, Lieutenant, Fairfield Police Department
Katherine Roberts, Captain, Ontario Police Department
Richard Sill, Captain, Chino Police Department
Darrel Stephens, Executive Director, Police Executive Research Forum
James Strait, Captain, Monterey Park Police Department
Richard TerBorch, Chief, Arroyo Grande Police Department

TREND FORECASTS GRAPHS

Trend 1 - Demand for Effective Communication Skills and Abilities



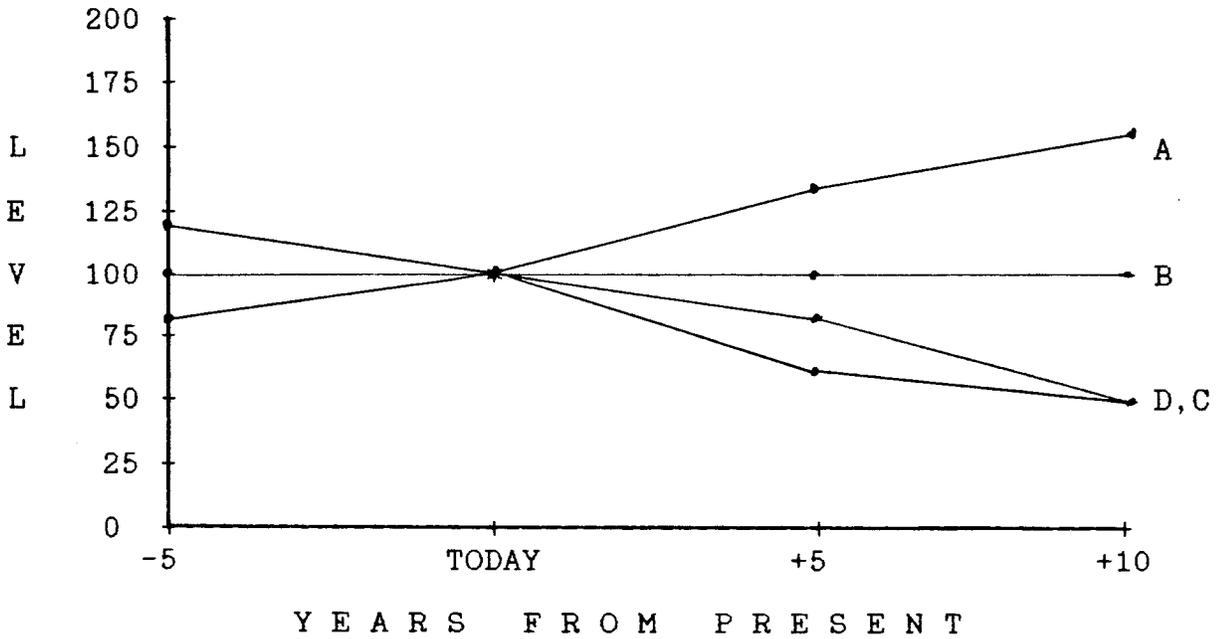
Trend 2 - Demand for Effective Problem Solving Skills and Abilities



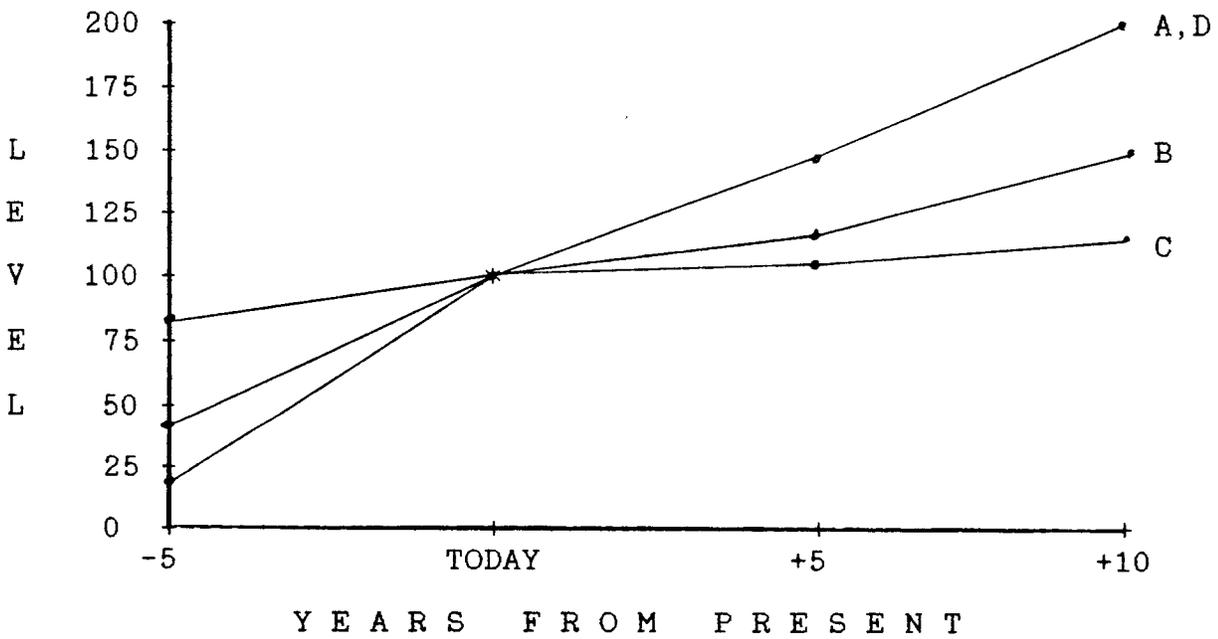
A = Highest Forecast
 B = Median Forecast
 C = Lowest Forecast
 D = Median "Should Be" Forecast

N = 11

Trend 3 - Use of Activities as Performance Measures



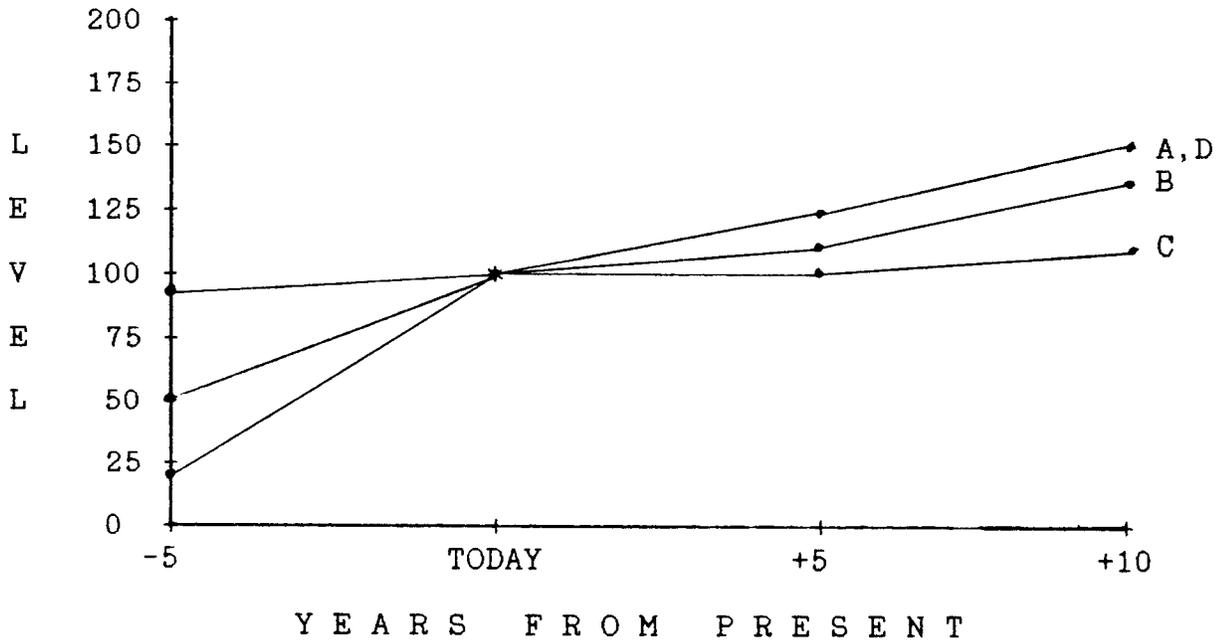
Trend 4 - Use of Outcomes as Performance Measures



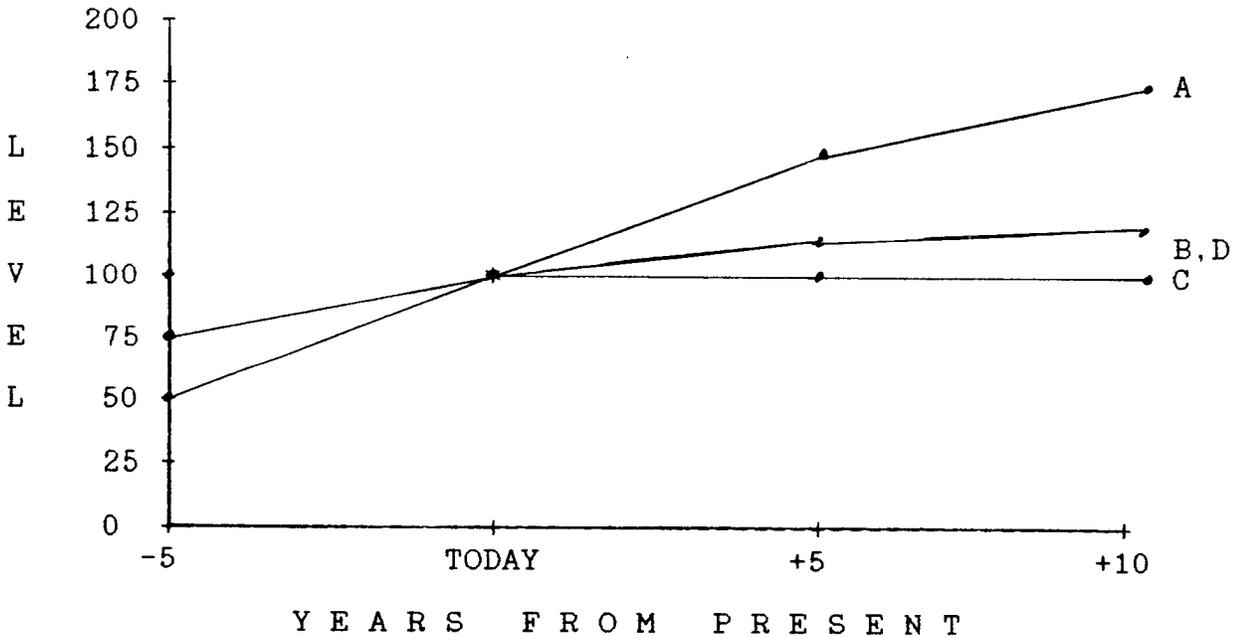
- A = Highest Forecast
- B = Median Forecast
- C = Lowest Forecast
- D = Median "Should Be" Forecast

N = 11

Trend 5 - Level of Citizen Involvement in the Evaluation of Officer performance



Trend 6 - Level of Union Involvement in the Establishment of Performance Evaluation Methods

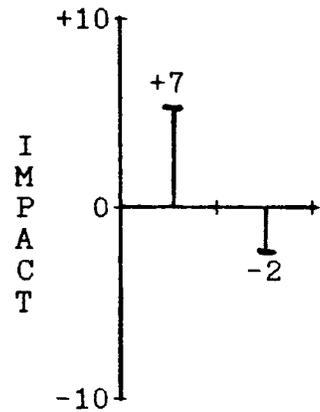
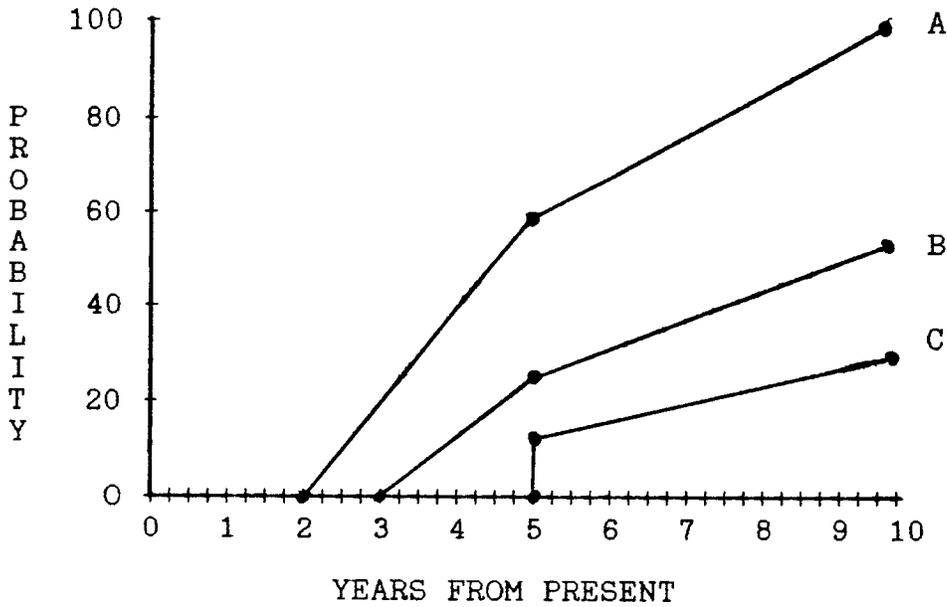


- A = Highest Forecast
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- C = Lowest Forecast
- D = Median "Should Be" Forecast

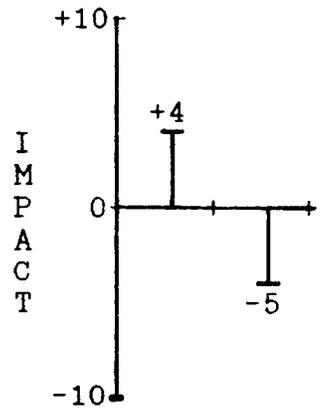
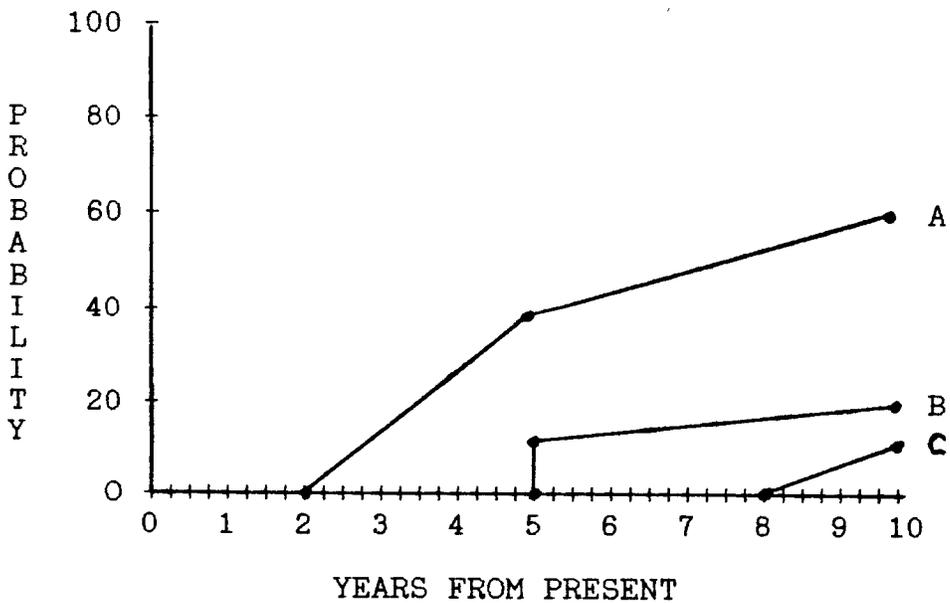
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EVENT FORECASTS GRAPHS

Event 1 - CALEA Revises Chapter on Personnel Evaluation Emphasizing Qualitative Performance Assessments

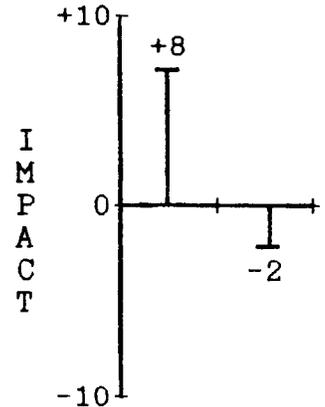
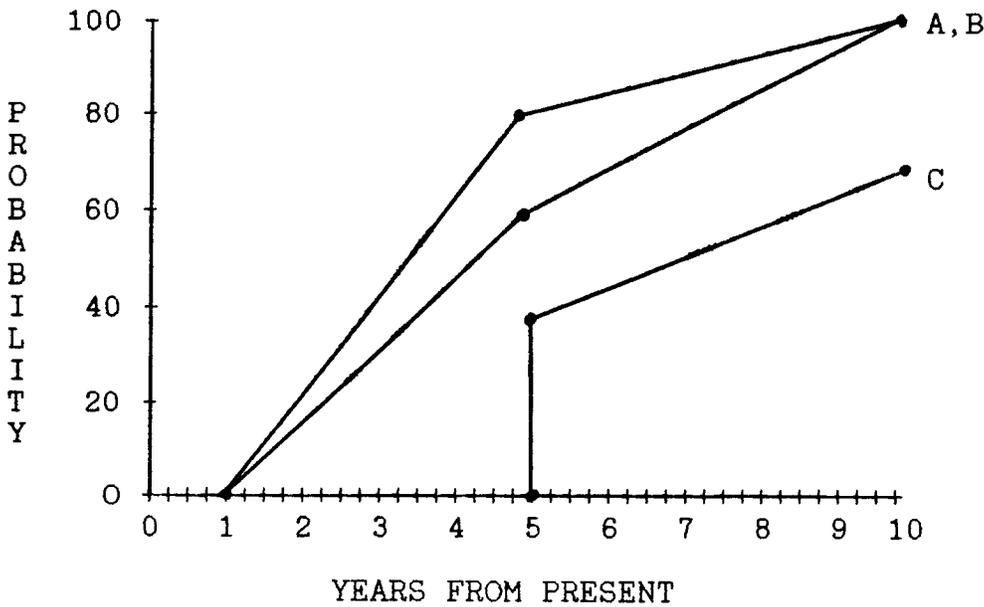


Event 2 - Legislature Mandates Citizen Review Boards for all Police Agencies

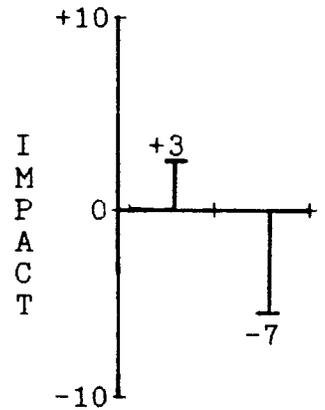
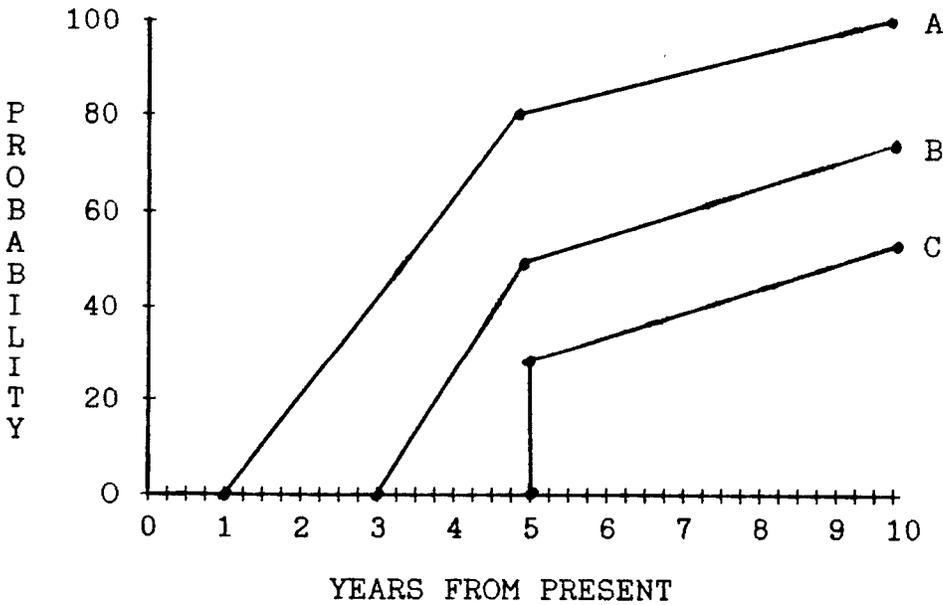


A = Highest Forecast
 B = Median Forecast
 C = Lowest Forecast
 N = 11

Event 3 - Major U.S. City Police Agency Requires Periodic, Field, Written Supervisor/Citizen Follow-ups as a Performance Evaluation Tool

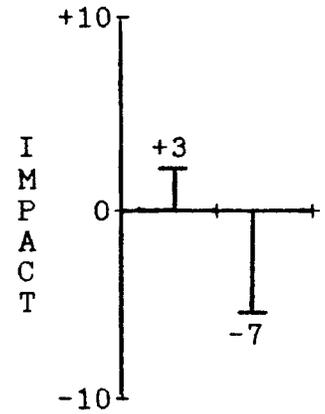
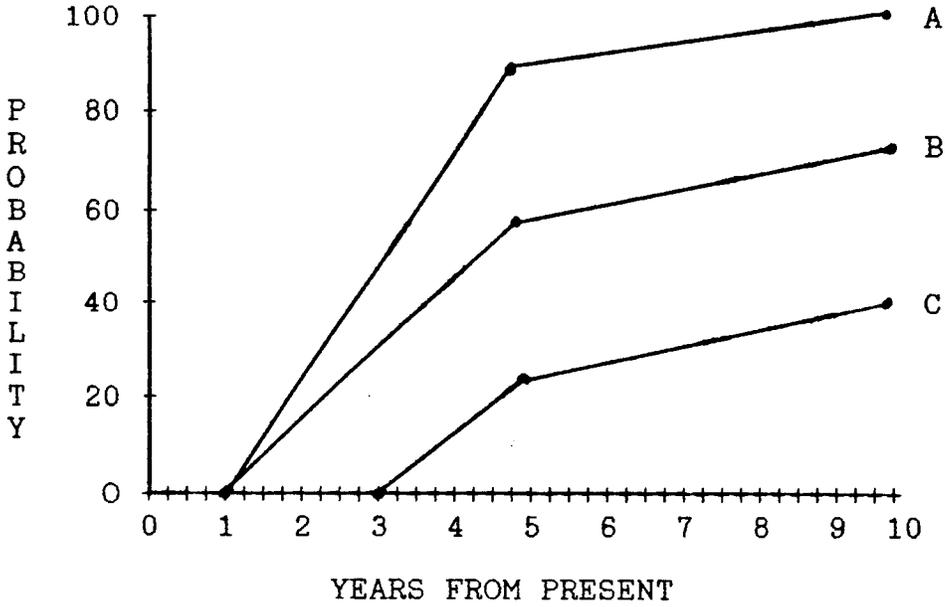


Event 4 - Major U.S. City Police Union Files Suit Contesting the Validity and Reliability of Qualitative Performance Assessments

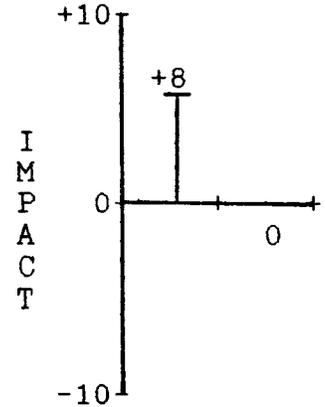
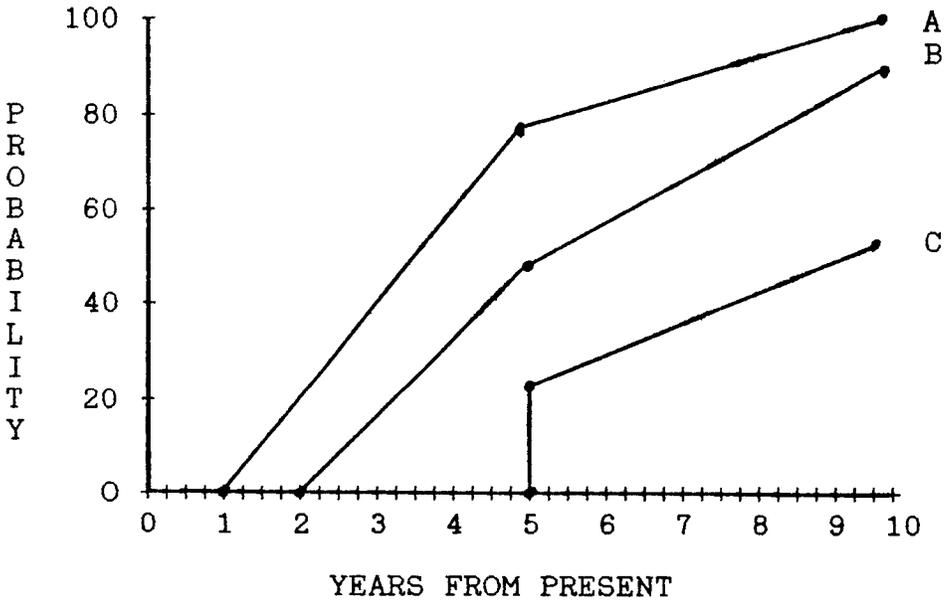


A = Highest Forecast
 B = Median Forecast
 C = Lowest Forecast
 N = 11

Event 5 - National Television Airs a Significant Act of Police Brutality in an Affluent Suburban Community

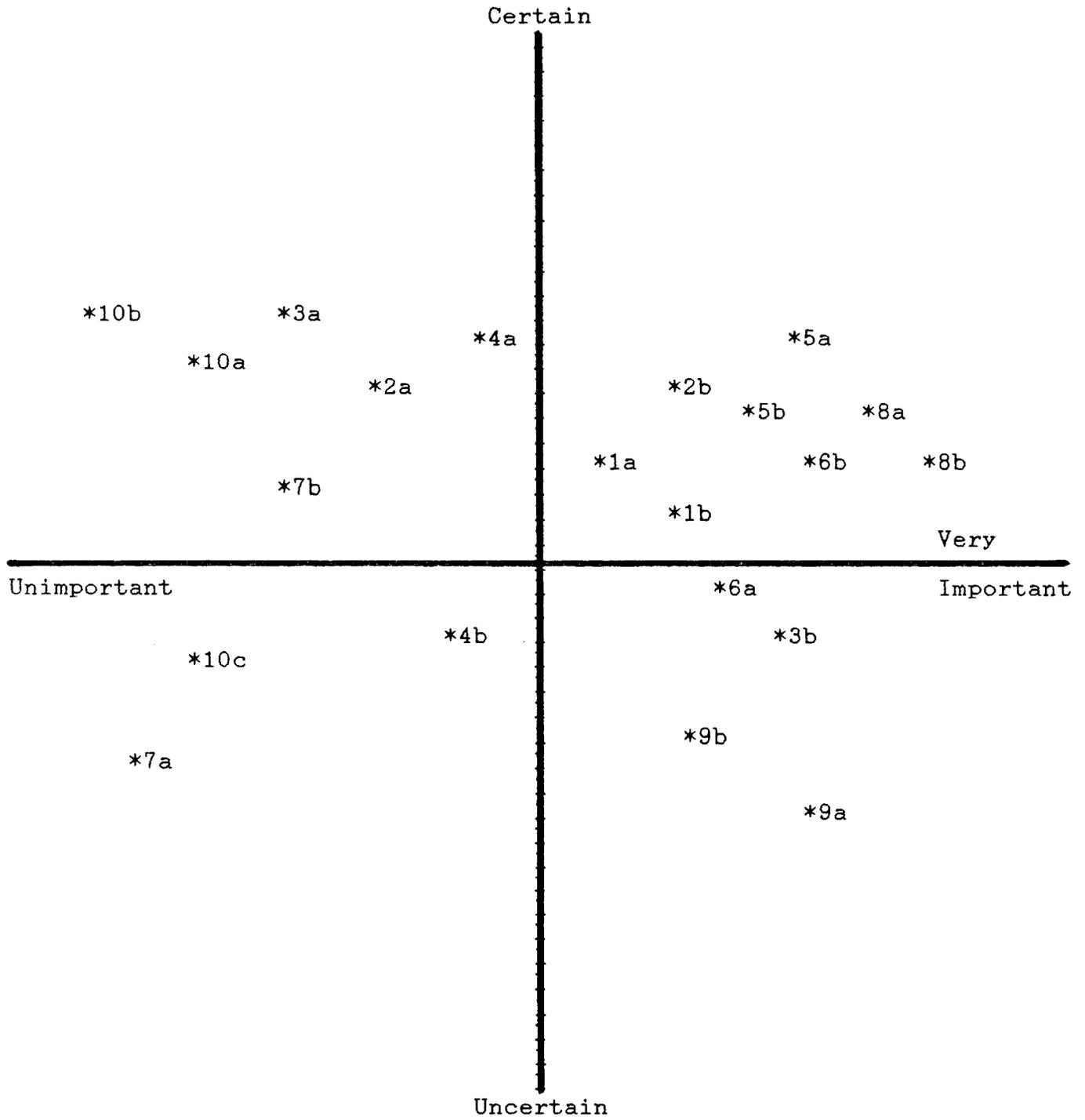


Event 6 - California Funding Body Establishes Grant Funds for the Research and Design of Performance Evaluation Methods for Community Policing Officers



A = Highest Forecast
 B = Median Forecast
 C = Lowest Forecast
 N = 11

Strategic Assumption Map



1. Patrol Officers

- a. Officers feel performance ratings are primarily based on the number of arrests made and citations written versus qualitative assessments of their work.
- b. Officers feel monthly stat sheets place pressure to produce "numbers" inhibiting their discretion, but feel stronger about their enforcement role versus their service role.

2. Patrol Sergeants

- a. Sergeants feel abandoning officer stat sheets in favor of more qualitative performance measures would require more work on their part as the rater of officer performance.
- b. Sergeants feel qualitative assessments of work performance are important, but feel that a police officer's primary role is enforcement oriented, not service oriented.

3. Community Members

- a. Community members are genuinely concerned about officer performance, but not to the point they would volunteer much time to assist in patrol officer evaluation.
- b. If handled conveniently, they would like to answer short questions concerning officer performance and their involvement would create community support for the agency.

4. City Council

- a. The City Council feels the Part I crime rate and the emergency response time are the most critical measurements of agency performance.
- b. The City Council feels the number of arrests made and citations written by patrol officers directly affect the

Part I crime rate and the emergency response time.

5. Personnel Director

- a. The Personnel Director feels a patrol officer evaluation system should be consistent with the values and expectations of the organization.
- b. The Personnel Director feels performance standards should be somewhat measurable avoiding subjectivity where possible.

6. County Chiefs of Police Association

- a. The chiefs' association feels performance evaluations systems are inconsistent with Community Policing
- b. The chiefs' association places a higher value on qualitative assessments of patrol officer performance versus quantitative measurements.

7. California Peace Officers Standards and Training

- a. P.O.S.T. feels the Rodney King incident will cause patrol officer expectations, standards, and training to shift towards Community Policing.
- b. P.O.S.T. feels a performance evaluation system consistent with Community Policing will be designed and subsequently shared throughout the state.

8. Human Relations Commission

- a. The Human Relations Commission feels police agencies need to improve their image and relationships with minority communities.
- b. The Human Relations Commission feels police officers need to better understand and communicate with members of minority communities.

9. The Police Union
 - a. The police union feels personnel actions such as merit increases and promotions should be based on seniority, not merit and/or performance.
 - b. The police union feels performance evaluations should be strictly objective based on measurable criteria.
10. Traditionalist Informal Department Leader
 - a. He feels police officer performance should be based on command and confront as measured in the number of felony arrests made and the number of citations written.
 - b. He feels Community Policing strategies are not examples of real police work.
 - c. He feels community members and groups have no business reviewing and evaluating officer performance.

RESPONSIBILITY (RASI) CHART

Action Step	Chief of Police	Patrol Comdr.	Test Group Lt.	Test Group Sgts.	Test Group Ofcs.	Union Pres. Sgt.	Inf. Ldr. Sgt.
Announce Change	R	S	S	-	-	S	S
Identify Test Group	A	R	S	S	S	I	I
Eliminate Stat Sheet	A	R	S	S	S	I	I
Design Computer Stat Sheet	A	A	R	S	I	S	I
Design Monthly Rpt.	A	A	A	R	S	S	I
Design Cit. Follow-up Report	A	A	A	R	S	S	I
6 - Month Review	A	A	R	S	I	I	I
Design Semi-Annual Evaluation Instrument	A	A	A	R	S	S	I
1 - Year Review	A	A	R	S	I	I	I
Training and Implement	A	R	S	S	S	S	S

Legend

R = RESPONSIBILITY...responsible for action
 A = APPROVAL.....must approve, has power to veto the action
 S = SUPPORT.....has to provide assistance regardless of support
 I = INFORM.....must be informed before action, but cannot veto
 - =irrelevant to that particular action step

ENDNOTES

ENDNOTES

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