PROVIDING CONTRACTED POLICE SERVICES FOR UNINCORPORATED COUNTY AREAS IN CALIFORNIA BY THE YEAR 2001

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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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Standards and Training

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by

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Executive Summary

SECTION ONE -- A FUTURES STUDY

This study deals with the status of and the factors that will influence the status of municipalities providing law enforcement services for unincorporated contiguous county areas. The sub-issues are: What will determine the willingness of the municipality to provide those services; What will determine the willingness of the county residents to receive their law enforcement services from the municipality and; What will determine the willingness of the county Board of Supervisors to enter into a contractual relationship for law enforcment services with the municipality? The study begins with a brief discussion of the traditional models for providing law enforcement services and what some of the issues are surrounding those models. A literature scan precedes the formation of the issue question. Following the formation of the issue question, there is a definition of the future consisting of a group forecasting technique to forecast trends and events. The trends forecasted are: Public expectation of police services, Revenues available for County government, Crime rate, Use of regionalized policing, Public satisfaction with level of law enforcement services received. The events forecasted are: Response time by municipal police units is less than one-third that of Sheriff units, Personnel reduction precludes Sheriff's patrol capabilities, County goes bankrupt, State withdraws all collateral funding, State mandates Sheriff to provide only jail and court staff. From the forecasts, three possible future scenarios are developed. The future is made bleak by trends that will negatively impact law enforcement as a whole and counties in particular. The negative trends lead to an undesirable future. The normative scenario is emphasized but is viewed as feared but possible because influencing the State Legislature to move toward a desired and attainable future is deemed beyond the scope of this study.

SECTION TWO -- A STRATEGIC PLAN

Using the normative scenario, a strategic plan is developed to meet the feared but possible future. The plan is developed for Vista Mar, a pseudo name for a real California city. The environment is assessed to determine the weaknesses, opportunities, threats, and strengths. The

major stakeholders are the Sheriff, the Chief, the City Manager, the County Administrative Officer, the Board of Supervisors, the City Council, and county residents. Such elements as determination of service levels, cost, and local control issues are dealt with. Time lines are proposed to implement the plan within an 18 month period.

SECTION THREE -- TRANSITION MANAGEMENT

The stakeholders are culled to arrive at a critical mass of individuals without whom the plan would fail. The critical mass individuals are analyzed for their positions their current state of commitment to the concept. Negotiations strategies are proposed to move them from their current level of commitment to that needed for success of the plan. The model of a Citizens Task Force is used based on a representatives of constituencies theory as the vehicle to implement the desired strategy.

SECTION FOUR -- CONCLUSIONS, RECOMMENDATIONS, AND FUTURE IMPLICATIONS

This study concludes that, under proper circumstances, opportunities for municipalities to providing contracted law enforcement services to county areas will increase in the future.

There are advantages to municipalities providing law enforcement services to county areas. Identification and involvement of key groups, can bring about an achievable and more desirable future. The basic answer to the sub-issues is that a balancing of the desire for local control with the need for low cost law enforcement must take place. The exact nature of that balance will depend to a certain extent on the geo-political area where a plan is developed. Each area will be different but the basic trends will be the same: Revenues available and expectations of services.

Recommendations are made for the law enforcement manager to prepare to meet the future by monitoring the general trends in this study and the trends that apply to the specific environment of the manager.

Finally, recommendations are made for future studies based on different models for providing law enforcement services such as a municipal agency providing patrol and related functions while a Sheriff's department provides specialty units such as canine, air, and detectives.

INTRODUCTION:
Providing law enforcement services -- a brief look at the traditional models and the factors that influence those models.

SECTION ONE: DEFINING THE FUTURE
What will the status be of small police departments providing contracted law enforcement services for unincorporated contiguous county areas by the year 2001?

SECTION TWO: A STRATEGIC PLAN
A strategic plan to ensure that small police departments are prepared to provide law enforcement services for unincorporated contiguous county areas by the year 2001.

SECTION THREE: TRANSITION MANAGEMENT
From the present to the future -- Managing the transition

SECTION FOUR: CONCLUSIONS, RECOMMENDATIONS, AND FUTURE IMPLICATIONS

The answers:

- Issue Question
- Benefits of contracted law enforcement services
- Threats
- Increased opportunities for contracted law enforcement

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INTRODUCTION:

PROVIDING LAW ENFORCEMENT SERVICES -- A BRIEF LOOK AT THE TRADITIONAL MODELS AND THE FACTORS THAT INFLUENCE THOSE MODELS.

"An organization exists and prospers based on its capability to provide quality services that respond to the needs of the user--the citizens. That is its marketplace."[1] Simply put, responsiveness and cost are the chief factors assuring the success of any organization. The costs of maintaining law enforcement services is rising almost exponentially. Proposition 13 (a voter approved taxation limitation) and the Gann Initiative (a voter approved budget limitation measure) have resulted in reduced funding for government and law enforcement agencies. In his Command College paper, written in 1989, which dealt with consolidation of law enforcement services, Chief Peter Herley identified declining revenues available for law enforcement as a very important trend.[2] Yet, we cannot merely cut back spending and hope to remain responsive. The issues are too complex and the stakes too high. Merely adopting a model based solely on cost will not solve the problem. An inadequately funded organization will not have the flexibility to remain responsive; law enforcement is too complicated and the needs of our communities are too varied for the low paid unsuited law enforcement officers to effectively function. Various solutions have been proposed and tried to ensure that high quality law enforcement services are provided at an appropriate cost. Those solutions are local municipal agencies establishing their own police department, Sheriff's departments, Sheriff contracting to municipalities, regionalization, consolidation of agencies, and consolidation of services.

Several traditional models have emerged. The most common are municipalities providing law enforcement services to their own incorporated or chartered city and Sheriff's departments providing law enforcement services to county areas. If the municipality is unwilling to form its own agency either for financial reasons or ease of management, the Sheriff's agency provides contracted law enforcement services. This model is commonly called the "Lakewood Plan" after the City of Lakewood which first contracted with the Los Angeles County Sheriff's Department in 1958. There are also some isolated examples of municipal agencies providing services to other municipalities.

Size of an agency is often considered a measure of its potential for excellence of service and professionalism. Large size (such as many Sheriff's agencies have) is thought, by some, to be necessary to achieve professionalism. Generally, it is thought that professionalism and specialization are necessary for effective urban law enforcement. Specialization often includes air units, K-9 corps, laboratories, crime prevention units and others. With specialization comes

increased familiarity with a particular discipline and therefore, increased expertise. Some feel that smaller agencies lack the ability to achieve excellence because of the need to be generalists in their approach to law enforcement because of staffing constraints.[3]

Large size equating to superior services may not necessarily be the case, with the right model, smaller may actually be better.[4] Smaller agencies can achieve an acceptable level of expertise despite their size. In large agencies, where mechanisms exist to insure that the police are responsive to citizen requirements for service then, an increase in the availability of police should lead to better service. However, because of staffing constraints, many times the officer put into a particular patrol area changes daily. Even if the mechanisms exist, that officer is not motivated to be as responsive as he would be if he were assigned every day. In addition, large (city) bureaucracies are not responsive to citizen desires.[5] The result is that the police are insulated and their presence may be perceived as a force imposed from the outside.[6] Smaller agencies tend to be more accessible to the community both in policy and in practical effect. Small size fosters greater intimacy, community identification, public interaction and civic education.[7] It is easier for members of the community to reach a local chief of police in a small agency than to peel back the layers of bureaucracy in a large agency. Ease of accessibility leads to the ability of the residents among the community to influence the actions of their police. This ability to influence on a grass roots level is referred to by many terms: local control, local identity, and local ownership.

In addition to the arguments supporting professionalism through size, cost considerations yield the conclusion that larger agencies lead to an economy of scale -- better output of services at lower costs.[8] Costs associated with recruiting, training, managing and meeting liability expenses are spread out in the large agency and result in a lower per capita cost for law enforcement than a small agency is capable of. With the Lakewood Plan, this was one of the factors influencing the decision. One of the major assumptions was that the Sheriff could provide the services at a lesser cost than the city could on its own. However, this may be less true today than when the Lakewood Plan was first implemented. Increasingly, cities are re-examining contracting with Sheriff's departments for services because of rising costs.[9] What seems to happen is that local identification issue is taken to the point that special city logos, cars, and officer uniforms are devised for the contract city. The result is permanent allocation of

personnel and material in sufficient quantities to actually form a small department inside the larger Sheriffs agency which is dedicated to serving only one particular community. The costs of this model quickly approach the cost of the city forming its own department. In addition to dedicated resources, reduction in county funds has caused costs of this type of contracted law enforcement to rise. Once this happens, the economy of scale disappears and the analysis of whether or not services are being delivered at an appropriate level must shift elsewhere.

Determination of appropriate service levels can be accomplished in many ways. One of the strongest predictors of citizen satisfaction with police actions is reported response time and variables which compare expected and reported response times.[10] The more protracted the response time, the lower the satisfaction rating. Clearly, one can conclude that when a citizen calls for police services, they want the officer there quickly. In a situation where a sheriff's must respond from a great distance, this fact will result in a lower satisfaction rating for the sheriff's department. A given municipality has the ability, because their officers are virtually next door and not across the county, to respond to a call more quickly at a given location where the sheriff's deputy would have lengthy response time. Citizens who perceived a faster response time than they expected were more satisfied with response time, and therefore level of law enforcement services received.[11]

A factor which might encourage contracting with another government entity for services is the desire for continuity of services across jurisdictions within a particular geographic area.[12] In California, there are many areas where pockets of county residents, called county islands, exist within the political sphere of influence of municipalities. They are considered within the political sphere of influence if they share community characteristics in common with the local municipality. These islands are also often surrounded geographically by a municipality or may be sandwiched between two municipalities. They share many characteristics with the municipality but receive government services from a government physically distant from their neighborhood.

Of the issues identified above, funding difficulties, larger is not necessarily better either in economy of scale or in responsiveness; and smaller agencies do not necessarily provide poorer service. One conclusion that can be reached from this discussion is that smaller agencies can produce superior services at a competitive cost if the primary need of those being served is

service and not expertise. Funding and its impact on the ability of the Sheriff to service contract cities and county residents is a changing issue. Where once the economy of scale indicated that the Sheriff was the logical choice for law enforcement services, there are questions about the costs of law enforcement services received from the Sheriff and questions about the responsiveness of the Sheriff especially in the area or response time to calls.[13] The Sheriff is facing problems in providing law enforcement services for contract cities and is facing similar difficulties with county residents, some of whom live on islands surrounded by municipalities. The more distant the island from the normal beat of the deputy, the less likely that services will be delivered adequately. At some point, the Sheriff may be unable to provide services to those islands. Municipalities provide the focal point for a particular political sphere of influence and are often already providing law enforcement services. Nowhere in the research literature was there any discussion of municipalities providing law enforcement services to county residents. This changing circumstances suggests that there may be opportunities to provide law enforcement services in a new way.

Selection of a Future Issue for study

The city of Vista Mar, a pseudo name for a real California city, has a small police agency of fewer than fifty personnel. The city is one which surrounds county islands. Small departments (50 or less personnel) comprise approximately 42 percent of California's 350 city police departments.[14] A trend of financial difficulties for the local county government was identified approximately two years ago. The trend was monitored to ascertain if the original assessment of the direction was correct. It appeared that the financial difficulties continued and that the ability of the Sheriff to provide law enforcement services would be decreased. In addition to the identified general trend, there was an assumption made that if the Sheriff was unable to provide law enforcement services that, residents in the county areas would not annex into the Vista Mar municipality in order to receive law enforcement services.

The trends and assumption suggest that new ways of providing law enforcement is an emerging future issue worthy of study.

Issue Question:

Providing contracted police services for unincorporated contiguous county areas in California by the year 2001?

Selection of Sub-Issues

After identification of the Issue Question, a list of sub-issues was developed that could potentially impact the study of the Issue Question. For purposes of this study, the most relevant sub-issues were distilled down to three. This was accomplished by proceeding on the premise that a majority of the sub-issues generated would logically be included in the three selected.

Sub-Issues:

1. What will determine the willingness of the municipality which controls the small police agency to provide police services?
2. What will determine the willingness of the residents of the contiguous county areas to receive police services from the small police department?
3. What will determine the willingness of the county Board of Supervisors to enter into a contractual relationship for law enforcement services with the municipality?

Assumptions/Definitions

For purposes of clarification, some definition of terminology and scope is appropriate. First, the county areas referred to will remain unincorporated and must be contiguous to the municipality. In this sense, contiguous means that the county area and the municipality share a common border. Further, the county area would not be completely surrounded by another municipality. Contracted law enforcement services is intended to mean that an actual formal agreement exists when one unit of government pays another unit of government to provide a public service for its citizens.[15] Small Police Department is defined as one having fewer than 50 sworn personnel. Police services are meant to include all the traditional functions of police departments such as patrol, traffic enforcement, crime prevention, accident investigation, and criminal investigation.

SECTION ONE: DEFINING THE FUTURE

Purpose:

The purpose of this section is to define the future in light of the Issue Question. Trends related to the Issue Question and the sub-issues, as well as possible future Events must be identified. The Trends and Events will be utilized to forecast the future.

Futures Forecasting:

After settling on an issue question to study, identification and analysis of Trends and Events that are related to the issue question is the next step to prepare to meet the future. A forecasting group process was used to identify possible Trends and Events that could impact the issue. That same forecasting group then narrowed the Trends and Events to five by utilizing such criteria as importance to the issue, relevance, and ability to be affected by a policy (See Appendix A). When defining the future, it is necessary to forecast the direction of the Trend(s) and estimate Trend levels during the ten year time frame posed in the issue statement. The forecast determines what the Trend line probably "will be", and what it "should be". Any divergence between "will be" and "should be" will necessarily be of concern in the formulation of a strategic plan. To complete the Trend analysis, the effect(s) of critical Events are evaluated. A critical event is one that could impact (change) one or more of the Trends if the event occurred. To obtain the necessary data to prepare a cross impact analysis. Trends and Events are presented in rank order of importance determined by the group.

TREND AND EVALUATION:

Trend forecasts:

The complete range of the group forecasts is shown in Table 1, Trend Evaluation on the following page. A description of the event and an analysis of the forecasts follow Table 1. Graphic displays of the Trends may be found in Appendix B. All figures are referenced to a definition of today level as "100". A Trend level that is forecast higher than today will have a number greater than 100. Conversely, a Trend level that is forecast lower than today will have a number less than 100.

TABLE I. - TREND EVALUATION

		Trend Level **			
Trend #	TREND STATEMENT	5 Years Ago	Today	Five Years from now *	Ten Years from now *
T-1	Public expectation of police services.	88	100	125/100	150/100
T-2	Revenues available for County Government.	90	100	123/133	145/150
T-3	Crime rate.	93	100	115/130	110/120
T-4	Use of "Regionalized Policing".	98	100	110/150	120/188
T-5	Public satisfaction with level of law enforcement services received	110	100	95/125	105/145

**Panel Medians
N=9

* "will be" / "should be"

Trend 1:

Public expectation of police services: (Level of services expected by the public of police agencies). The forecast shows a steady 50 point rise over the next ten years in the level of expectation of services. The consensus of the future forecasting group was that there was an identifiable ground swell of "more service for less money". At the same time, the group felt that the level of expectation should remain virtually unchanged over the next 10 years. The group discussed, and agreed, that there is an unrealistic desire in the public to attain a higher level of service while providing funding at a rate which rises more slowly than the service expectation. The group forecasted a clear gap between what public expectation of police services will be and what it should be if current trends and funding levels continue.

Trend 2:

Revenues available for County Government: (Level of funding available for County Government described in constant dollars. Constant dollars refers to the value of money adjusted for inflation). Forecasting for this trend was based on the premise that the level of services

should remain constant over the 10 year time frame of the issue question. The group stated that there was less money five years ago than there is today. The difference was only 10 points which indicates that there was about the same amount of money five years ago as there is today. The forecast results can be interpreted to say that there is a strong probability that level of funding for County Government should and will increase over the ten year time frame of the Issue Question. The group believed that the "more for less" syndrome may give way to recognition that services desired have a cost that must be met. However, the money needed by county governments will lag behind what will be available. The costs of services will increase; the demand on services will also increase (Trend 1) leaving a gap in service level that cannot be funded. This gap is evident in the "should be" forecast.

Trend 3:

Crime rate: (Level of actual amount of crimes committed). There was a strong feeling that the crime rate should not be allowed to rise over the next 10 years. However, the crime rate will increase 30 points. The relatively low total forecasted increase reflected the general consensus that law enforcement would rise to the task and positively impact the rate of rise of crime. At the same time, there was little confidence in the basic nature of at least some elements of society to refrain from committing crimes, especially when economic conditions change. It will be necessary for police departments to reduce the gap between the should be and will be forecasts especially in view of the forecasted level the "Expectation of police services" (Trend 1).

Trend 4:

Use of "Regionalized Policing": (Level of actual use of regionalized policing.) Regionalized policing is defined as police departments formed on the basis of geographic rather than political boundaries). One or more municipality would be serviced by a single police department]. The median nominal forecast (will be) was only slightly above the low nominal forecast and both were only marginally higher than today. The group felt strongly that the use of regionalized policing should increase steadily to a level almost twice what it is today. The issues of "local control" and "local identity" figured prominently in the forecasting of this issue. There was a basic distrust of the government's ability to think rationally about these issues. The group felt that the problems of funding governmental services would not overcome the desire for local control and local identity. It will be incumbent on police departments to assist in research,

identify and call attention to problems, and set up mechanisms to develop alternatives to provide effective services and still be responsive to the desires of each segment of a larger population.

Trend 5:

Public satisfaction with level of law enforcement services received: [Level of public satisfaction with actual law enforcement services (patrol, investigation, traffic, etc.) received]. The group felt that the level of satisfaction with law enforcement has decreased over the past five years and will continue to decrease in the next five years. However, the level will rise 45 points by the end of the ten year period of this study. The level at the end of the ten year period will be 5 points lower than it was five years ago. Police departments will have great difficulty in the future providing sufficient amounts and types of services to satisfy the public expectations. Constant dollar funding decreases and an increase in the level of public expectations of law enforcement will be major factors. The group stated that public satisfaction should be higher than it is today. The group forecasted that satisfaction should be higher than it will be by the end of the ten year time frame of this study. It will be incumbent on police departments to provide information to the public about law enforcement's ability, or lack thereof, to provide the minimum level of services expected. At the same time, they must strive to more effectively provide services in order to close the gap between what will be and should be expected.

EVENT EVALUATION:

Events and forecasts:

The group forecasts are listed in Table 2, Event Evaluation on the following page. A description of the event and an analysis of the forecasts follow Table 2. A graphic display of the forecasts may be found in Appendix F. Expected value of the trend forecasts is a numerical expression (either positive or negative) impact that the event will have on the issue question.

TABLE 2. - EVENT EVALUATION

Event #	Event Statement	Years until Probability first exceeds zero	Probability *		Impact on the issue area if the event occurred*	
			5 years from now	10 years from now	POSITIVE	NEGATIVE
1	Response time by municipal police units is less than one-third that of Sheriff units.	2	50	70	9	1
2	Personnel reduction precludes Sheriff's patrol capabilities.	1	20	40	9	1
3	County goes bankrupt.	2	25	40	10	0
4	State withdraws all collateral funding.	3	30	65	7	3
5	State mandates Sheriff to provide only jail and court staff.	5	30	65	10	0

** Panel Medians
N = 9

Event 1:

Response time by municipal police response is less than one-third than that of Sheriff's units: This event was defined as being that point in time when municipal police units can generally arrive at a call for service in less than one third the amount of time that is required for a Sheriff unit to arrive at a call for service. The time was perceived as an average and without regard to type of call. The expected values are +6.3 and -.70 by ten years. The group felt that the year in which the probability of occurrence first exceeded zero was year three. Loss of funding and the accompanying inability to field patrol units were identified as the primary factors leading to the occurrence of this event.

Event 2:

Personnel reduction precludes Sheriff's patrol capability: This event was defined as that point in time when the Sheriff was forced to reduce personnel to such a level that police services such as a Patrol and Investigations could no longer be provided. With the median forecast within 30 points of the low and 60 points of the high forecast, this is an event that is not likely to occur. The Sheriff will probably be able to continue to provide some personnel to handle calls for service. Should this event occur, the expected positive impact on the issue question will be +3.6 and -.40 by ten years. Probability of occurrence exceeds zero in year one.

Event 3:

County goes bankrupt: (That point in time when a County Government in an urbanized county goes bankrupt). This event describes the probability of counties going bankrupt. The median indicates that funding difficulties such as continued taxpayer resistance to increased taxes and inability to fund operations due to rising costs will have a cumulative probability of 40 by ten years. The expected value will be +4.0 by ten years and there will be no negative impact. Probability of occurrence first exceeds zero in year two. The group felt that the counties were far more vulnerable to bankruptcy than cities because a wider variety of demands on general revenues. Counties are responsible for jails, courts, welfare, and many other functions not present in city government which are actually utilized more by city residents than by county residents. The nature of the revenue base is also different; where cities are densely built and populated, counties are sparse and spread out. Businesses tend to locate in or near population centers. Even if counties were to try to enact alternate or additional revenue generating

measures, the population would not be willing to support the tax load.

Event 4:

State withdraws all collateral funds: (That point in time when the State refuses or cuts funds that were traditionally sent to county and city governments). This event deals with withdrawal of state subvention funds. The effect of this event would be to leave the counties and cities virtually on their own for funding of essential services. The expected value is +4.5 and -1.9 by ten years. This event will probably occur by 3 years from today. The difference requires that this be closely examined from a policy standpoint. Counties will be substantially affected by the occurrence of this event. Cities will also be affected by the withdrawal of collateral funding. However, the concentration of population in the cities with the accompanying business tax base will offset some of the impact.

Event 5:

State mandates Sheriff to provide only jail and court staff: (The state, through legislation, directs the Sheriff's Departments to staff only jails and court systems and to divest themselves of all traditional policing functions). This event represents a statement by the State that the counties will not provide traditional policing functions such as patrol to county residents. It will be impractical and too expensive for counties to provide these services. Cities are closer to the residents and can respond to calls for service in a quicker and much more cost effective fashion. The median probability first exceeds zero at five years. The cumulative increase in probability of this event by ten years is 30%. The expected value is +6.5 by ten years; there is no negative expected value.

CROSS-IMPACT ANALYSIS:

A cross-impact analysis was then conducted on the trends and events using a three member consensus group (Appendix J). The medians, which are the results shown in Table 3, Cross Impact Analysis, depict the impact that each forecasted event would have on the trends and all other events if the event occurred. The impact level are expressed as either positive or negative percentages. Listed below each of the impact forecasts is the number of years until the maximum impact of the event on the event or trend that would be impacted by the occurrence

of the event. The total number of impacts called "hits" is recorded. A trend or event is impacted if it is acted upon by an event. This total aids in determining the main "Actor Events", those which influence the largest number of other Trends and Events. On the bottom of the table are the totals of the number of impacted events or trends. These totals help determine the "Reactor" events and trends. A reactor trend or event is one that reacted to the occurrence of the other events.

The purpose of a cross impact analysis is to provide a graphic representation of the interaction of the trends and events which makes possible formulation of conclusions about the relationships of the trends and events. For example, events that have a high incidence of influence on other events or trends will be considered key for the development of policies. Also, trends that are impacted by a high number of events may change in direction or level and should be considered in policy decisions.

TABLE 3. - CROSS IMPACT EVALUATION

MATRIX

(3 Member Consensus Panel)

Maximum Impact (% change +/-)
Years to Maximum Impact

	E1	E2	E3	E4	E5	T1	T2	T3	T4	T5	"IMPACT" TOTALS
E1	X/X	—	—	—	—	+70/5	—	+40/2	+50/3	-80/1	E1 4
E2	+100/1	X/X	—	—	—	—	+15/1.5	+10/2	+40/5	-80/2	E2 5
E3	+100/0	+100/0	X/X	—	-60/1	—	-100/0	+40/1	+50/2	-100/0	E3 7
E4	+5/2	+30/1.5	+20/2.5	X/X	-5/3	—	-25/0	+5/5	+25/3	-30/2	E4 8
E5	+100/0	—	-25/4	—	X/X	—	+20/1.5	+10/2	+15/3	-20/2	E5 6

"IMPACTED" TOTALS

E1	E2	E3	E4	E5	T1	T2	T3	T4	T5
4	2	2	1	2	1	4	5	5	5

Legend

Events

E1 Response time by municipal police units is less than one-third that of Sheriff units.
E2 Personnel reduction precludes Sheriff's patrol capability.
E3 County goes bankrupt.
E4 State withdraws all collateral funding.
E5 State mandates Sheriff to provide only jail and court staff.

Trends

T1 Public expectation of police services.
T2 Revenues available for County Government
T3 Crime rate.
T4 Use of "Regionalized Policing".
T5 Public satisfaction with level of law enforcement services received.

Analysis of the Cross Impact Results:

Only the events with 6 or more impacts are evaluated.

Event 3.

County goes bankrupt: (7 "hits") The occurrence of this event would have, by far, the greatest effect on the set of trends and events. All trends and events, except one, (Event 4, State withdrawal of collateral funding), would be impacted. Since this event is very drastic and would result in total temporary collapse of county government, the increases and decreases in each trend or event are extreme. There would be poor response time by Sheriff units making the likelihood of the occurrence of event one greater. A decrease in trend 5, Public satisfaction with the level of law enforcement services received will occur. The Sheriff will be unable to meet the forecast increased Public expectation of police services, Trend 1. And finally, there will be a significant impact on Event 5, State mandates Sheriff to provide only jail and court staff.

Further, even though the probability of the occurrence of this event is high and many of the trends and events would be impacted, there is little that can be done from policy standpoint to influence the occurrence or non-occurrence of this event. This event could only be impacted by the State Legislature's decision to provide emergency funding and is beyond the scope of this study.

Event 4.

State withdraws all collateral funding: (8 "hits") Collateral funding describes such things as gasoline tax, cigarette tax, support for mandated programs and other funds currently given to local government by the State. The occurrence of this event would impact all other trends and events since funding of positions, ability to meet expected levels of service, and the ability to respond in an acceptable time to calls for service are all funds sensitive. The occurrence of this event could be seen as both positive and negative with respect to the Issue Question. The occurrence of this event would increase the likelihood that counties would be unable to provide law enforcement services due to insufficient funding. On the other hand, cities are also dependent on subvention funds and would have to adjust their budget processes before they could accept responsibility for contracted police services to contiguous county areas.

Event 5.

State mandates Sheriff to provide only jail and court staff: (6 "hits") If the Sheriff was mandated to provide only jail and court staff and therefore no patrol staff, there would be a decrease in the satisfaction level of services received. The Sheriff would not be able to respond at all to calls for service. Revenues for other government services could be reallocated because of the reduction of the Sheriff's staff.

SCENARIOS:

Developing scenarios is a method used to examine a range of trends and events, which, when taken together, could lead to a possible future. Scenarios provide a focus for planning for the future. Three basic modes of scenarios will be used in this paper: exploratory ("most likely"), normative ("feared but possible"), and hypothetical ("what if"). The scenarios include trends and events identified and forecasted by the forecasting group. The scenarios are set in the city of Vista Mar a city of less than 15,000 people. Vista Mar is situated in Pleasant County. Pleasant County has pockets of unincorporated areas (rural and urbanized) surrounded by highly urbanized incorporated cities. Both Vista Mar and Pleasant County are pseudo names for a real California city and county.

The exploratory or "most likely" scenario assumes that everything goes along as planned and no intervening policies are put in place that would alter the course of the future. The present is "played out" to the most likely conclusion with only current forces and existing policy choices.

The normative future is normally one where a particular "desirable and attainable" end-state is sought and then describes a distinct and plausible path of events that could lead to that end state. However, in this study, no attempt is made to achieve an end state. This scenario is therefore, treated as "feared but possible". Rather than providing a target to aim for, it provides an understanding from which to plan and implement policies to mitigate an undesirable future.

The hypothetical or "what if" scenario is produced through manipulation of the data (trends and events). The result is a future that changes as the data is turned and reshaped in an impartial spirit.

All headlines are from the imaginary newspaper, the Pleasant County Journal and are read as a historical perspective in 2001.

EXPLORATORY SCENARIO ("MOST LIKELY")

"COUNTY BANKRUPTCY NARROWLY AVOIDED AGAIN" (JULY 1996)
"SHERIFF SAYS "NO PERSONNEL REDUCTION" (JUNE, 1994)
"CITIZENS GROUP DISCUSSES RESPONSE TIME TO CALLS" (NOVEMBER,1994)

"Sometimes I think that I must be doing it with mirrors" was the statement made by Ima Leader, County Administrative Officer for Pleasant County. For several years now, the county has faced slumping revenues and has flirted with bankruptcy each year. Many factors have been blamed, the general slow down in the economy, the public's lack of enthusiasm for new tax measures, increased service demands, and the slow withdrawal of collateral funding by the State. Whatever the causes of the revenue decline and however bankruptcy was avoided, all of us are waiting for the next chapter in the saga....June 31, 1997 when the next budget is submitted.

The budget crisis has taken its toll on all the county departments save one, the Sheriff's Department. Sheriff Justice vowed that he would "never reduce the personnel in the Sheriff's Department and jeopardize the safety of the citizens of Pleasant County". Despite the attempts by the CAO to reduce personnel, the Sheriff has managed to rally enough political support to continue as his present staffing levels. There has been no growth in the department despite the continued growth of the county population. Reported crimes per 100,000 persons is up for the third straight year. It is clear that an adequate job is not being done but at least the Sheriff is able to temporarily hang on to his existing staff.

The crime rate and response time to calls for service was exactly what was on the mind of Sarah Goodspeaker the spokesperson for the Pleasant County Citizens Action Committee. She said in a recent interview that she was going to speak to the Sheriff about the poor response time. While she pointed out that Sheriff's units take only about twice as long to arrive at a call for service as the nearby city police department and the lack of funding is a primary cause for the slower response time, Goodspeaker said "We are just not as satisfied as we used to be with the level of service".

Another topic on Goodspeaker's agenda was regionalized policing. She said that Sheriff Justice was open to discussion about the issue but continued to maintain that his larger department could provide better services than the three departments in the southern end of the county should they combine into a regional department. Goodspeaker said that the matter was not closed.

NORMATIVE SCENARIO ("FEARED BUT POSSIBLE")

"SHERIFF TAKES THREE TIMES LONGER THAN POLICE TO ARRIVE" (November 1993)
"STATE CUTS COUNTY FUNDING" (January 1994)

Ten years ago, in 1991, the State funding cuts and the poor level of law enforcement services provided by the Sheriff prompted a Grand Jury study of the problem. As a direct result of the findigs of the Grand Jury, the Peninsula Law Enforcement Task Force was formed in southern Pleasant County to examine the future of law enforcement services. Because the group successfully forecast events and trends, policies were developed to mitigate a feared possible future rather than reach a desired future, the residents of southern Pleasant County continued to receive high quality law enforcement when the Sheriff was unable to continue to provide those services.

Of primary concern to all the citizens of the county was satisfaction with the level of law enforcement services they received. There was also a strong upward trend in the area of expectation of services. When the state withdrew all collateral funding from counties and cities, the counties were devastated by the loss. The cities were hurt, but not as badly.

Loss of collateral funding caused the Sheriff to reduce personnel. He was able to continue to field only a token patrol force but the units took three times as long to arrive at a call as did the municipal police units from the near by city. Crime went up dramatically.

As a direct result of the 1991 meeting, citizens groups had been alerted to the potential for the occurrence of both these events. The groups met with government officials from the city whose borders touched the county borders. They discussed the potential impact of the trends and events identified by the 1991 group. Impacts on the quality of life, expectations of police service, and satisfaction with the forecasted level of service (if the identified events actually occurred) were discussed. They worked out a tentative plan to be implemented in the eventuality

that the withdrawal of state money actually took place. The plan included methods to address all the contingencies identified in the discussions including funding formulas, levels of service, expectations of service, enforcement policies, and methods of citizen input into the operation of the municipal police agency. The result was a temporary interruption in the level of police services police services received while the city geared up to provide contracted services but the prior planning ensured a smooth transition and rapid rise to a satisfactory level of services.

What was evident during all the discussions between the citizens groups and the municipality was the issues of local control and local identity. One of the original plans considered early on was regionalized policing. The idea was shelved in favor of contracted services from the municipality. The groups said that they wanted to have more input into the operation of the police department and a sense of community that *they felt* would not exist with a regional police agency. This decision closely paralleled the feelings of the 1991 study which cited those very issues as controlling and forecast only a slight increase in the use of regionalized policing over the last ten years.

The dust has settled in the past year and the plan is working well. The county residents in the contiguous areas to the cities are receiving quality police services. There is even some friendly competition between the cities supplying contracted police services for those pockets of population that are equal distance from each city.

HYPOTHETICAL ("WHAT IF") SCENARIO

What if events with a probability of 60% or greater occurred at year 5 in the study?
"STATE CUTS COUNTY FUNDING"(January 1994)
"GRUESOME MURDER -- SHERIFF COULD NOT ARRIVE IN TIME" (November 1993)

Between the years 1991-1996 the general revenue picture for governments became increasingly bleak until the State was finally forced to stop all payments to the counties and cities. Both the cities and counties were left holding the bag for many of the state mandated programs. Local government fought bitterly against such a move by the State because there were no provisions for relaxing state mandated programs. Local government argued that the result

would be a reduction in essential services to local residents. Such services as police, fire, and minimal administrative functions were, in fact, drastically reduced.

The Sheriff, while given high priority for funds, was forced to reduce personnel to the point where response time to calls for service was so high as to be almost non-existent. A murder occurred which was widely believed to have been preventable if there was an adequate response time by the Sheriff's units. In spite of reduces funding, the Sheriff was unwilling to give up any of the political power base that providing police services represents even though the service level under a contract to local municipalities would have been far superior.

The judges issued a court order establishing a minimum staffing for courts when the Sheriff tried to take deputies for patrol. The jail was antiquated and required high numbers of staff to operate. The Sheriff was basically unable to provide any patrol functions. Since the county residents needed police protection, they were outraged. The following election year, the Sheriff was defeated because he had failed to keep the county residents informed about the deteriorating level of service that he was giving them and had failed to plan for the future.

The net result of the occurrence of these events is that the county area residents are without law enforcement. There are no plans in place to rectify the problems and the future of police protection for county residents is very bleak while just across the street and the county line, in Vista Mar, are people that enjoy highly effective and responsive law enforcement.

SECTION TWO: STRATEGIC PLAN

A STRATEGIC PLAN TO ENSURE THAT SMALL POLICE DEPARTMENTS ARE PREPARED TO PROVIDE LAW ENFORCEMENT SERVICES FOR UNINCORPORATED CONTIGUOUS COUNTY AREAS BY THE YEAR 2001.

Purpose:

The purpose of strategic planning has been defined as "A structured approach, sometimes rational, other times not, of bringing anticipations of an unknown future environment to bear on today's decisions."[16] In this section, a strategy to meet the "feared but possible" future of the Normative scenario is presented. The strategic plan will be developed to fit the needs of Vista Mar Police Department situated in Pleasant County California. While a hypothetical setting was chosen, the researcher relied on members of a real California police department.

Macro Mission Statement:

The mission of the Vista Mar Police Department is to maintain the public peace, safeguard lives and property and to provide for a quality of life whereby those persons with whom we have contact; have a sense of security and freedom in their lives and activities. To that end, we will continually enhance our capability to provide superior law enforcement services and related functions through self inspection and change. We will proactively communicates with, and appropriately respond to the needs and special enforcement issues, of the community. We will ensure public confidence in our organization through effective fiscal management, sound personnel practices and incorporation of appropriate technologies into our operation.

Micro Mission Statement:

The Vista Mar Police Department will ensure that it is a viable organization capable of providing law enforcement services for all persons within our political sphere of influence.

Situational Analysis:

Having forecast significant trends and events related to the issue question for the next ten years, the future environment of the Vista Mar Police Department is brought into sharper focus. Before a plan to meet the future can be implemented, an assessment is made of the current situation. With this assessment, two things will be accomplished. The situational analysis yields a setting for a plan and a beginning point for the transition management (how to get from here to the more desirable future state). For this study, two situational assessment processes were used. The first is the WOTS-UP Analysis, an acronym for Weaknesses, Opportunities, Threats, Strengths -Underlying Planning. The second is the Strategic Assumption Surfacing Technique (SAST).

WOTS - UP ANALYSIS:

Environment:

The environment contains both internal (Strengths and Weaknesses) and external (Threats and Opportunities) elements. Strengths are resources that could be used to achieve and weaknesses are conditions that will tend to limit the ability of the organization to achieve the desired future.

Threats are unfavorable and opportunities are favorable conditions outside the organization that affect its ability to achieve the desired future. Issue Question. The WOTS - UP Analysis was conducted with a group of four staff members of the Vista Mar Police Department (appendix J).

Threats:

For the next several years, the general economic condition will limit resources. (1)The City Manager is very cautious fiscally. He is unlikely to undertake a new program unless it is cost effective and/or is accompanied by new sources of funding. (2)Cities as well as Counties will face budget limitations that may erode the level of services that are provided including response to calls for service. Funding available for County Government may increase. (3)The "more service for less money" syndrome will yield slightly to a willingness to pay for the services as is indicated by the narrow gap in the" will be" and "should be" forecasts for revenues available for the county. This is a threat since one of the prime motivators to receive police services from municipalities is the lower costs of those services. (4)The use of regionalized policing will increase slightly, reflecting a desire by citizens and government to receive high quality services without the expensive service duplication among individual political jurisdictions. If this trend came to the forefront, it could cause the dissolution of small agencies rendering the issue question moot.

Currently, the department has a reputation in the surrounding communities of being highly enforcement oriented and prone to writing citations for minimal or "marginal" violations. (5)This will be a major problem since the willingness of the county residents to receive police services from the department will be based directly on their perceptions of this department.

Opportunities:

(1)The financial position for government is worsening. This is a continuation of a trend that began in 1978 with the passage of Proposition 13. In addition, the global recession has caused reduced tax income to government in general and there is a general rejection of increased taxation to support services. Counties appear to be more vulnerable to the impact of budget recession because of the myriad of services that they must provide--services which municipalities do not provide. Pleasant County is no exception to the phenomenon. Last year alone, there was a forced budget reduction of 3.5 million dollars and this year the budget reduction is projected to be deeper yet. Complicating this issue further are the increasing pressures from the public that government serves. (2)There is a strong trend for more services for less money, a demand for a greater voice in determining how funds are spent not only for law enforcement, but for all facets of operation. (3)There is also a strong demand from communities for accountability for decisions made by county government.

Reduced income and increased public pressure have created a nearly impossible situation in which county government must function. Providing law enforcement services for county residents will become so difficult that the level of service actually provided will be almost non-existent. Personnel reductions will raise response time to calls past the acceptable point or even preclude the Sheriff from any traditional law enforcement functions at all. In ten years, Sheriffs may be able to provide only custody and court room security.

Strengths:

There was a high turnover rate of police personnel in the past but this has decreased since the City Council acted to retain qualified employees. (1)The staff of the department is made up of individuals with and average of five to six years of experience in grade. This experience level is reflected in conscientious fiscal management and knowledge of the politics of the region. Also attributable to experience levels, (2)the case clearance rate has risen and the crime rate and accident rate has decreased significantly. (3)The department is physically closer to the county areas than is the Sheriff's substation or main station. Response time to calls for service at a given address by this department's personnel is generally 20-40 minutes faster than Sheriff Deputies. (4)The character of the neighborhoods in both the city and the county area are very

similar in social status, economic status and law enforcement needs; there would be no major internal policy changes necessary in order to provide services that were acceptable to the county area residents. (5)There is a strong mandate from upper level management in the department to seek out and reward creativity and innovation. This has resulted in an organization that is not only accustomed to change but is constantly looking for ways to make positive changes that increase its own effectiveness.

(6)The relative stability, creative environment; experience level; knowledge of the community; and briefer response time will all contribute to the ability of the department to meet objectives related to the mission statement. All these factors will directly contribute to the department's ability to meet the needs and expectations of the residents of the county area. (7)In addition to these factors, the enthusiasm level of the personnel is very high. The Police Officers Association and individual members of the Association have expressed strong support for the concept.

Weaknesses:

(1)The Council is reluctant to meet what it terms a "constant upward spiral of wages" that is caused by a need to be competitive in order to recruit and retain qualified personnel. This makes recruitment and retention of qualified personnel difficult. Personnel willing to accept lower pay and benefits are potentially less qualified individuals <u>or</u> they are merely using the department as a stepping stone to another department with better pay and benefits. (2)Each new employee must undergo a lengthy labor intensive training and indoctrination to specific departmental policies and the needs of the community. The result is a lower level and lower quality of service delivered as a direct result of the limited experience of the personnel.

(3)Personnel in Vista Mar are accustomed to a slower pace of law enforcement. An increase in activity level and demands on the time of the personnel may cause a problem. The personnel may perceive the increased activity level as causing a decrease in the service they provide. This will create a conflict since the organization is primarily service oriented.

(4)Resources such as sufficient numbers of personnel and material (patrol units, uniforms, and support equipment) does not currently exist. These resources would have to be provided prior to assuming law enforcement responsibility for the county areas. (5)There would be an

interim period during which the personnel of Vista Mar will have to provide services without the benefit of full staffing. This will cause a strain on the existing personnel and may negatively affect the level of service provided.

STRATEGIC ASSUMPTION SURFACING TECHNIQUE (SAST):

A very important part of the strategic planning process is the identification of the those persons, groups, or constituencies impacted by or who may wish to address the issue question. Collectively, these groups and individuals are known as "stakeholders". The SAST is a tool used to identify these stakeholders and attempt to clarify their position through assumptions about their basic, deep seated, often unstated, values and beliefs that individuals or groups have about the world, or in this case, the issue question. The stakeholder identification and analysis was accomplished by consensus of top management officials of Vista Mar familiar with the political climate and who had participated in the futures forecasting portion of this study.

Stakeholder Analysis:

The following is a list of the most important stakeholders analyzed in terms of assumptions about that group. Only the most important stakeholders are listed here. The complete list appears in Appendix G. A complete list of stakeholder assumptions appears in Appendix H. The certainty and importance of each of assumption are graphically displayed on the Strategic Assumption Map in Appendix I.

Stakeholders:

A. City Council

1. Services to the residents or the municipality will be negatively affected (diluted) by providing services to the county residents and their sense of security will diminish.
2. There will be a feeling that residents of the municipality should receive priority for calls for service.
3. Providing law enforcement services for county residents may result in the municipality subsidizing the county area when actual costs exceed contract price.
4. There will be an increase in level and quality of service because of increased staffing levels.

B. Citizens of the County Area

1. They will be concerned about receiving appropriate levels of service for the money that they will pay.
2. They may believe that they will have a greater input or voice in enforcement policies and operational parameters.
3. There will be a difference in the enforcement methods of the municipality from those of the Sheriff which will require a period of adjustment.

C. City Manager

1. The City Manager will be very concerned about cost effectiveness.
2. Administrative duties will increase.
3. Civil liability will increase putting the city at greater financial risk from law suits.
4. A contract arrangement for the provision of law enforcement services would create a sense of community between he county residents and the residents of the municipality.

D. Chief of Police

1. There will be an added duty of ensuring that adequate staffing levels are provided for the municipality to prevent any dilution of services and for the county area residents to ensure that the contracted for level of service is provided.
2. There will be increased administrative demands placed on him and the staff.
3. There will be increased demands placed on the department's resources (vehicles, safety equipment and uniforms, the police facility and other essential equipment).

H. County Administrative Officer

1. The CAO may see the fee charged by the municipality as a loss of revenue that is not directly offset by reduced county operational costs.
2. Reverse contracting may be a way to decrease personnel expenses and a benefit to the county budget.
3. The CAO will be concerned that the fee for the contract does not exceed what providing law enforcement services to the county residents currently costs.

I. Sheriff

1. The Sheriff will be greatly threatened by such a program. He will be concerned

about a loss of political support and loss of power since he will not be receiving the votes from the county residents subject to the contract with the municipality.

2. The Sheriff may fear a budget cut by the CAO because of the reduction in police service personnel.

3. There will be a loss of prestige caused by two perceptions: first, that the county residents felt they had to look elsewhere to receive adequate law enforcement services, and second, the Sheriff becoming primarily a provider of custodial services rather than a law enforcement provider.

J. Board of Supervisors Members

1. As elected officials, they will be concerned about losing a political power base because they can no longer directly effect the level of law enforcement and therefore the feeling of security of their constituents.

2. They will be concerned about a loss of revenue to the County when those revenues are diverted to pay for contract law enforcement services.

DEVELOPING ALTERNATIVE STRATEGIES:

Using individuals representative of government including a City Manager, Chiefs and Captains (Appendix J), a modified policy delphi process was used to generate, examine and select strategic policy alternatives designed to achieve the mission and address the "feared but possible" scenario.

After discussion, the initial list was reduced to three and the group was requested to make pro and con arguments for each strategy.

STRATEGY 1: Service Level Education of County Residents

County residents must be involved in an educational process to demonstrate the benefits of receiving law enforcement services from the municipality. 9-1-1 "run sheets" would be gathered to prepare a response time comparison between Sheriff and municipal units. Response to county area calls for service by the municipality would be stopped except for mutual aid requests from a Sheriff's Deputy actually on the scene. This would graphically demonstrate the protracted response time of Sheriff's Deputies.

Pros:

1. The county area residents would get a true picture of what services they **actually** are receiving from the Sheriff.
2. The county residents would also be given a demonstration, by the non-response portion, of how much the municipality has been augmenting the Sheriff in the past.

Cons:

1. A possibility of being perceived as empire building or dirty dealing (the non-response policy).

Stakeholder Perception: Those stakeholders primarily concerned with receiving rapid response to calls for service will resent the non-response policy as an attempt to force them into a service contract they may not want. The municipality, or more likely, the Police Department will be the target of negative press. On the other hand, the citizens of the municipality, the City Manager and those other stakeholders interested in providing law enforcement services based on who paid for them will embrace this strategy since it will end providing free law enforcement services to county residents when the Sheriff cannot send units in a timely fashion.

All stakeholders concerned with professional law enforcement service will see non-response to calls for service as a moral dilemma. On one hand there is no duty to rescue and on the other, professional law enforcement provides services to those who need them regardless of who pays.

Those stakeholders charged with cost effective provision of services on the county level may see this strategy positively. It could open the door for them to relieve themselves of an area of responsibility that is in actuality too burdensome to adequately handle--given their available funding and resources.

The Sheriff, the Sheriff employees group, the Board of Supervisors will all be concerned with maintaining the status quo. They will see this strategy as an attempt to discredit them, to remove a portion of their funding, or job threatening.

This strategy could be perceived so negatively by many of the stakeholders that it would be fatal to the entire concept.

Strategy 2: Local Control Satisfaction

A citizens task force would be formed with members of county government and citizens groups to discuss advantages of receiving contracted law enforcement services from the municipality. The objective would be to show that contracted law enforcement services received from the municipality will create greater local control through increased and easier input to the law enforcement provider.

Pros:

1. All groups concerned with the process will have an opportunity to voice their concerns or to defend their positions.
2. Negative perception from a heavy handed approach will be minimized. Some negative perception is possible but it will be off set by the openness of the committee discussions.
3. The concerns of all parties will be adequately addressed before a contract is entered into leaving nothing to chance.

Cons:

1. There will be an opportunity for the Sheriff to temporarily defuse the concerns brought up at the meetings. The reality of poor staffing will not be changed, but the perception could be by temporary reallocation of personnel by the Sheriff.

Stakeholder Perception: Enforcement issues and community concerns can be responded to faster by a smaller, more agile municipal agency. The level of "basic service" and what will be provided as part of that and what will be extra is directly within the control of the county residents. They will be able to dictate what they spend and what they receive. For example, if only some facets of a total spectrum law enforcement services are desired, they can be chosen and other services such as response to alarms, vacation house checks, and private property abandoned vehicle abatement can be set up on a user fee basis or not used at all.

Those stakeholders concerned with maintaining their current position such as the Sheriff and Sheriff employees groups will be threatened by this process. They will be able to counter claims by the municipality of service levels only by speaking to what they are capable of. The service level claims of the municipality will be based on actual permanent capability. The service level claims of the Sheriff will be based on temporary potential to respond to service concerns.

Assuming adequate funding, internal stakeholders of the municipality will perceive this strategy positively. They will see any move in this direction as improving their own position since the larger organization necessary to handle the increased demands of the county areas will provide more opportunities for specialty positions and career development.

Strategy 3: Cost Comparison

Prepare a cost effectiveness study for both the county area residents and the municipal residents. A concurrent study to determine needs or desires of the county residents would also be necessary. The studies would demonstrate what services **are actually** being provided for with the tax dollars being spent now on a per capita basis. The level of services which can be provided by the municipality with tax dollars currently paid by county residents would be demonstrated.

Pros:

1. A study of this type would show what portion of taxes that are paid to the county by both county and municipal residents and what portion is actually dedicated to law enforcement per household.
2. Actual cost of services received as opposed to services promised by the Sheriff could be demonstrated. Differences could be used to propose a level of service by contract that would exceed what is actually received now by county residents.

Cons:

1. Contracted law enforcement cost per capita or cost per household would appear too high to the county residents.
2. The cost of service received would appear sufficient to the county residents thereby negating any perceived need to change.

Stakeholder Perception: Stakeholders concerned with only the costs of contracted law enforcement services would support this strategy. There would be a perception in the minds of all concerned that costs were adequately explored prior to any contracted services.

Internal stakeholders such as the Chief and municipal employees groups may believe that this approach is too detached. They would feel that the intangible quality of service which comes from the different culture of the municipal department could not be adequately quantified

into dollars and would therefore not be part of the decision of the county residents to contract for law enforcement services.

PREFERRED STRATEGIC PLAN:

Of absolute necessity to achieving the mission is the need to gain the attention and support of the county residents. As previously discussed, non-response to the county area calls for service, as an attention getting device, except on a mutual aid basis would be counter productive. However, a ***comparison*** could be made ***of actual response times*** it would graphically demonstrate the protracted response time of Sheriff's Deputies.

Since one of the primary concerns of the county residents would be the ability to influence how and what services were provided by the municipality, committees would have to be formed with members of county government and citizens groups. Their objective would be to ***determine if contracted law enforcement services received from the municipality will create greater local control through increased and easier input to the law enforcement provider.***

Cost will probably be the final determining factor. Even if the service received was superior under a contract with the municipality, if the cost was greater, the taxpayer knee-jerk response may very well be to reject the concept of contracted law enforcement services. A ***cost effectiveness study for both the county area residents and the municipal residents*** to demonstrate what services **are actually** being provided for with the tax dollars being spent now on a per capita basis will be necessary.

IMPLEMENTATION PLAN AND TIME LINES:

Implementation would require the formation of a Law Enforcement Task Force. The task force would be comprised of members of the county residents group, possibly homeowners associations; the County Administrative Officer; the Sheriff, the City Manager, the Chief of Police, staff member(s) of the municipal police department and the Sheriff's department. The basic mission of this task force would be problem identification, identify and define prospects for the future, form strategies to meet the future, and finally, to make recommendations to the

decision making bodies.

Staff guidance is key throughout the entire task force process. Staff has the practical skills and knowledge to maintain focus for, and ensure the viability of, the ideas generated by the task force.

Six phases are indicated to ensure success of the process: Support of the Chief and Manager, Political counterparts meet and confer, Service Level Definition, Cost Comparison, Local Control Issues, and establishing a permanent watch dog committee. The phases and time lines are organized as follows:

Phase I. Support of the Chief and City Manager

Time: Immediate

Steps: The Chief and the Manager will meet with staff of the municipal police department. The purpose would be to establish initial support for the concept of providing contracted law enforcement services. The Manager and the Chief must be prepared to free up staff time and funds to proceed with the study and implementation.

Phase II. Political counterparts meet

Time: 1-3 months

Steps: The purpose of this meeting would be to establish a rapport among the members of the Board of Supervisors, the City Council, the City Manager, and the County Administrative Officer. This group must also establish a fundamental support posture for the concept of contract law enforcement services.

Phase III. Service Levels

Time: 6 months Who: Committee members as defined

Steps: The committee will be charged with gathering materials such as 9-1-1 run sheets from public records at the Sheriff's Office and the municipal police department. They will compare response times. Once response times are established, a determination will be made as to how they can be improved or what response time is desired. Definitions will be discussed to ensure that all parties are operating with common terminology. The committee will finally determine what service level is desired by the county residents. The "basic service" to be provided will be preliminarily defined.

Phase IV. Cost Comparison

Time: 9 months Who: Committee members as defined

Steps: From the findings of the third phase, take the preliminary service level definitions and determine a cost. Compare that cost to the cost on a per capita basis for current service levels and determine what improvement can be made. Required materials would be budgets from both the municipality and the county.

Phase V. Local Control Satisfaction

Time: 12 months Who: Committee members as defined

Steps: From the common definition of terminology determined in Phase III, the committee would determine what enforcement priorities they believe exist in their community. More important would be establishing protocol for citizen input into operational details of the municipal police department and determination of the degree to which the group can actually impact the operations.

Phase VI. Watchdog committee established

Time: Indefinite Who: Members of full task force

Steps: This committee would be charged with monitoring the provisions of the contract and ensuring that all concerns discussed and planned for during the task force process are met. They would also function as an intermediary between the municipal agency and the county area residents to provide a second, more informal, line of communication for issues and questions.

NEGOTIATING ACCEPTANCE OF THE STRATEGY:

Certain critical components to this strategy are required to make it work. These are components on which there can be no flexibility during negotiations. They include:

1. Costs of providing services cannot exceed revenues from the contract.
2. Basic service level cannot change prior to next budget year once established. Costs of services which exceed the basic level must be recoverable during the next budget meeting process.
3. Determination of costs for service must be on a basis that protects the city and the police department.

Flexible elements of the strategy include:

1. Determination of the basic service level to be provided.
2. Enforcement priorities of the county residents to include such things as parking enforcement, strictness of enforcement of County Ordinances and level of moving traffic enforcement.
3. Method and type of citizen input to ensure perception that the department is open to the suggestions and comments of the county residents.

Stakeholder Positions

Five critical stakeholders and their perceived positions on the strategy are as follows:

1. City Manager

Hold Firm - The City Manager is likely to require that minimum basic service levels are maintained, accounted for on an annual basis and the entire department operate under established budget constraints.

Flexibility - The City Manager is likely to be flexible in how the services are provided--relying on the expertise of his Chief to properly allocate personnel and equipment.

2. Chief of Police

Hold Firm - The Police Chief will require that basic service levels are met and maintained, but not exceeded. The Chief will require that priority for calls for service be set according to severity of the call, time received and availability of personnel.

Flexibility - The Police Chief will be flexible in the area of special enforcement requests of the county area so long as the requests to not exceed the contract price and terms.

3. Citizens of the County Area

Hold Firm - They will require that the cost determination formulas are in their interest and that they receive value for cost. They will demand that they receive adequate prioritization for calls for service. They will hold firm on the issue of input into the operational parameters of the organization.

Flexibility - County residents may be flexible in the method and quantity of input so long as there is an agreed upon protocol for input. They may show some flexibility in the determination of a basic service level.

4. Citizens of the Municipality

Hold Firm - They will require that no dilution of services take place as a result of the strategy. They will require that they continue to receive appropriate priority for their calls for service.

Flexibility - Their flexibility would come from the premise that if their police department was providing contracted law enforcement services to county residents there would be a need to expand the department. This expanded department would be able to offer a wider range of services simply because it would have more people.

5. Board of Supervisors

Hold Firm - The Board of Supervisors will want to ensure that there is no loss of revenue to the County caused by costs of contracted law enforcement that exceed current actual costs. They will also be particularly concerned with ensuring that service is delivered according to the letter of the contract.

Flexibility - The type and level of service will be negotiable with this group. So long as a minimum acceptable level of service is agreed upon and delivered, they may be inclined to negotiate services that are not included in the contract since this will give them some measure of control over the bottom line costs. The Board will also need assurances that their political power, the votes of the county residents, will not be eroded. They may be amenable some negotiated position that continues their political power base i.e. that they are kept in the communications loop and are perceived as part of the group that oversees contracted law enforcement services delivery.

SECTION THREE: TRANSITION MANAGEMENT PLAN

TO ENSURE THAT MUNICIPAL POLICE AGENCIES ARE PREPARED TO PROVIDE CONTRACTED LAW ENFORCEMENT SERVICES TO COUNTY AREAS

COMMITMENT PLANNING:

Purpose:

A successful strategic plan is totally dependent on transition management. Transition management is the process of getting from here to there--going from the present state to the future state. Transition management plans must be drafted for the unique environment of each individual organization. In general, there are three interdependent parts of a transition management plan. First, the commitment of each of the key individuals or groups called "critical mass" must be assessed and ways of gaining commitment planned. Second, management structure(s) are decided on. Third, technologies and methods are chosen to best suit the management structure and the critical mass individuals.

"Critical Mass" Individuals:

To provide sufficient force to ensure that the transition takes place, certain key or "critical mass" individuals must be identified to assist in the implementation of the transition plan. The "critical mass" is defined as the minimum number of individuals who, if they support the change, will pretty much assure that the change will succeed. Alternately, the critical mass should include those individuals who, if they oppose the change, will pretty much assure that the change will fail. Typically, a critical mass individual is one who can bring the most others with them to support the change or be persuaded not to oppose the change.

The "critical mass" individuals required to ensure success of this transition are:

- The City Manager
- The Chief of Police
- The City Council
- The Sheriff
- Board of Supervisors
- County Residents
- Municipal Agency Captain

Commitment Charting:

Essential to the success of the implementation plan is an assessment of the current level of commitment of each of the listed "critical mass" individuals. The assessment provides a basis for developing a strategy for moving those individuals to a position more advantageous to the success of the implementation plan. Table 4 is a chart of the assessment of the current level of commitment and the level to which the individuals must be moved.

Strategies for gaining commitment:

City Manager

The City Manager is the most powerful element in the administration of city government. Since the City Manager would be crucial to gaining the commitment of the City Council, his cooperation would be vital to implementing the strategy. While the City Council is important in and of itself, the City Manager, because of his intimate knowledge of the political climate of the Vista Mar area, he is uniquely qualified to provide broad guidance in this implementation plan. While the manager was assessed in the "Help Change Happen" category, he may actually be close to a "Make Change Happen" category. He is actively interested in the previously stated belief that the entire geographic area within the political sphere of influence of Vista Mar should be governed by a single local entity. The strategy for the manager would not be to move him to a higher level of commitment; instead, it would be to encourage him to remain at his current level. The danger is that with too active an approach, the implementation may fail because of the perception that empire building is taking place. The manager has the power to shape policy in both direct and indirect methods. He must concentrate his efforts behind the scenes rather than in the forefront.

Negotiating Strategy:

With the City Manager, it would be extremely important to take a position of mutual gain. Both the City Manager and the Council will be interested in the impact of the strategy on their interests--will their political power base be enhanced or diminished by the strategy?

Rationality would best convince him that the strategy would work in the sense of functional details according to projections but psychological influence would be used to demonstrate that the result was in the best interest of the community and *him*. His experience and rapport with different groups would aid successful negotiations. Active listening to fully understand his position is important. Many of the elements of the strategic plan offer positive results desired by the City Manager. Emphasizing these points and involving the Manager in the negotiations will give him a stake in the outcome and positively affect the process.

Chief of Police:

The Chief of Police has perhaps the largest risk in the implementation plan. His position is one of following the directives of the City Manager. He has also has a large personal stake

in the issue. The Chief would have the responsibility of implementing, directing, monitoring all the policies and procedures for the department related to the new responsibilities. In order to move the Chief from the current level to the desired level, he must be persuaded that he is the key leadership role and is the only person in the position to engineer the change and meet the needs of both the county residents and the municipal residents. He would further have to be the key player in the role of neutralizing those who would block the change and to instill confidence, direction and satisfaction with the change in all parties. The City Manager is not in a position to take such an active leadership role because of his other responsibilities.

Negotiating Strategy:

The Chief would also be approached from the position of mutual gain. There must be a team effort in all phases. If the Chief cannot be persuaded that the strategy is in the best interest of his department or himself, it will fail. Again, rationality is important to demonstrate the functional aspects of the strategy and psychological influence could be used (sparingly) to convince the Chief that the benefits outweighed the risk of assuming the additional responsibilities. Objections would have to be anticipated during the preparation phase and confirmed or rejected during the discussion phase of the negotiations with the Chief.

City Council:

The City Council is in the position of providing broad policy direction and controlling the budget based upon their perceptions of what community needs and wants are --they must approve the concept. It is vital that they move to and remain in a position of helping change happen. Their considerably influence with the public will be instrumental in ensuring the public support for such a change. Their role would be to provide financial and political support for the program. Their involvement in the policy setting portion of the implementation plan will ensure that they do not slip into the block change category. They will also be continually kept apprised of the progress of the program and any developments to assure them that the program was achieving results consistent with the stated goals.

Negotiating Strategy:

This group also requires a posture of mutual gain on the concept of providing contracted law enforcement services and a posture of compromise on the methods for rendering those services. They must be convinced that the cost and political scrutiny of entering into such an

agreement is in their best interests and, more important, will not diminish their current position. Interests such as security, economic well being, and control over one's life will be strong with this group. If these needs can be met the chances of reaching an agreement are increased. Since this group is extremely powerful, it will not be as emotional in its presentation.

One important part of the process will be to convince this group that they will not only maintain the same level of service to which they are accustomed but, that because of a larger agency necessary to service a larger population, the level of service received will actually increase through greater flexibility and officer experience level.

Sheriff:

The Sheriff is the critical mass individual that will suffer the largest loss in prestige and power. He will lose political support and popularity since the county residents who will no longer have a direct stake in electing a Sheriff. His role as law enforcement provider will be diminished. He will probably lose of part of his budget making operation of his department more difficult.

Negotiating Strategy:

The Sheriff may be willing to negotiate his position if he can be persuaded that it is in his best interest to let change happen. This may be accomplished through rationality by showing that the preferred strategy is the most economical and efficient way to provide law enforcement services to county residents. Some application of psychology would be helpful to show that the Sheriff's participation in the process which provides cheaper and better law enforcement services may well serve to enhance his popularity and political support if he could be represented as having the vision to make a beneficial change.

Residents of the County

The residents of the county area can be categorized as two basic groups: (1) those actively opposed to the proposed strategic plan and (2) those who do not have a strong feeling either way (let change happen effect). The obvious need is to move those members who will block change to the let change happen category.

These residents will be concerned with levels of service(s) received, cost, and the amount of input or voice that they will have in the future state. It will be incumbent on the change manager to ensure that the residents are brought in at the ground level to determine service levels

and, as a direct outfall of service level, the cost of the program. They must also be shown that the close proximity to the municipal agency will result in a greater, or at least more effective, voice with regard to communication with their law enforcement provider.

Negotiating Strategy:

In those areas where there is some flexibility in our position, we could be accommodating with this group. Attempting a win-lose posture would undermine the process by giving the appearance that the municipal agency was heavy handed and merely building and empire rather than attempting to provide improved services. Rationality would be appropriate to demonstrate that the levels of service to be received pursuant to the strategic plan were cost effective, equal to or better than current levels, and would be provided in a way that was sensitive to their needs. This group should be shown that the strategy is their best long and brief-term interests.

This group will be highly emotional in their own values and loyalty to the Sheriff's Department. Recognizing and understanding those emotions is critical. They should be perceived as a need of the group and dealt with according to what will satisfy that need. If this group does not want contracted law enforcement services they will be difficult to persuade absent some intervening event which makes their objections moot. Even if there were an intervening event, the negotiations strategy should not change because the long term relationship would be jeopardized. Look for mutual gain, dovetail differing interests, and stand firm on the problem but be soft on the people and the strategy will be acceptable to this group.

Board of Supervisors:

This group could possibly suffer loss of prestige and political power on a similar level with the Sheriff and will therefore see little gain for themselves in the plan. With law enforcement services provided by a municipality there will be less incentive for the county residents to vote either for or against Board of Supervisors members especially if law enforcement is the primary reason a resident votes. Costs of contracted law enforcement services could cause the county residents to affix blame on the Board for poor fiscal management resulting in the need for contracted law enforcement services.

Negotiating Strategy:

The Board may be willing to negotiate their block change position if they can be persuaded that any negative perception of them by county voters can be minimized. This could

be accomplished by persuading the Board that their position could be one of merely responding to changing circumstances and taking affirmative and strong steps to prevent loss of service levels. The Board, like the Sheriff, may be persuaded that the situation could actually enhance their popularity if they could be represented as having the vision to make a beneficial change.

Captain

The Captain (often next in command from the Chief) in a small agency plays a very critical role in effecting change. The person in this position often is charged with all facets of the operations of the department. He is key, providing leadership and engineering the practical aspects of the change management policies. At the same time, he must manage and develop an organizational culture which instills confidence, direction, and a sense of ownership in the change for all members of the agency.

Transition Management Structure:

Transition from the present to the future would actually begin at that point when the elements of the strategic plan had been meet and the contract for law enforcement services provided by Vista Mar had been signed.

The primary management structure for the transition period would be "Representatives of Constituencies". In this form of change management, a group made up of individuals that represents the major constituencies involved in the change; the "Critical Mass" individuals would serve as the representatives of constituencies. Their role would be to bring along the constituency that they represent. The Chief would serve as the political liaison, focal point, for all of the groups and would coordinate all the activities on a policy level.

The Representatives of Constituencies form was chosen because of the unique nature of the undertaking. Here, there is no all encompassing existing organization that will handle the change and either add to or modify itself. A totally new organization with different goals will be established. New people will be included in the informal organization. Although no new members will be added to the municipal police organization from any of the constituencies represented, each constituency will be in the lines of communication and impact the direction of the municipal police agency.

The Captain, working with the Undersheriff, would serve to carry out much of the change

from an administrative perspective and provide feed back on the impact of the policies and recommend ways to change policies to achieve goals. The "Project Manager" form of transition management is contraindicated as a primary structure because of the complex nature of the political forces that will affect the transition state. However, the Captain of the municipal agency will be instrumental in the project manager role on a purely administrative level where the technical details of the change are worked out and implemented. The Captain would also utilize a "diagonal slice" through the municipal agency. Staff, line, and non-sworn personnel should be included. Their inclusion will assist in creating understanding and gaining commitment from all levels of the agency. The task force would be primarily charged with determining and implementing the best operational methods to ensure success of the policies and goals of the representatives of constituencies group.

Technologies and methods: Since the basic structure for transition management form chosen is "Representatives of Constituencies" because of the complexity of the amount and type of communication that must take place, an effective initial method of implementation would be Confrontational/Goal Setting Meetings. Each of the represented constituencies would be able to voice their concerns in a forum where the concerns could be prioritized and assigned out to a group for further work or assigned to the Captain as an operational direction.

The resources, abilities and needs of each of the representatives of constituencies would be combined synergistically to ensure a smooth transition. A smooth transition would also necessitate that the members of the municipal police agency be well acquainted with the vision of the future state. The Chief, in his role as facilitator of the group representatives, would be charged with the primary responsibility for Communication of the Vision. He could accomplish this by explaining formally and informally what the future state will look like and especially what each person will do in the future state.

All technologies and methods have a common purpose -- to manage anxiety and uncertainty during transition. Characteristics of an organization in the transition state are among others:

- Resistance to change which comes from an inherent dislike of the uncertainty in a change state. People like positive feed back and cannot be assured of receiving

it in a situation where their role is uncertain and their knowledge of expectations is equally uncertain.

- Inconsistency between the spoken work (espoused goals) and actions taken must not occur. Such inconsistency will increase anxiety and promote the failure of the transition plan. There must be a clear and inspiring vision that everyone can share. Information should be sufficient so that all participants can see themselves in the future. The top leader, here the facilitator of the constituencies representatives, must be visibly involved in everything especially the front line initiatives.
- A high state of energy in the organization. Members of the organization may engage in counterproductive acts -- undirected energy. Leaders must be visibly involved in the teamwork. Small win ideas should be immediately and publicly rewarded. Make conflict management a top priority to ensure that control of the transition process does not become the battle and the process becomes secondary.

Good communication and feedback, providing honest information about mutual and individual problems is important for the project manager and his counterpart, the Undersheriff. The intent and reasoning of new policies and procedures must be clearly communicated to those who will carry them out or be affected by them. Measurement of performance (feedback) in relation to previously established goals and objectives is vital. But communication and feedback must be structured. For that portion of the transition, responsibilities must be assigned to each of the representatives of constituencies.

Responsibility charting:

To ensure that the transition plan achieves the stated goals, each member of the organization must understand his/her role in the transition state. Responsibility charting is a viable tool for this function. Specific tasks are assigned to the various representatives. Each has some level of responsibility for the particular task. Also, different levels of responsibility are assigned to each member depending on the task or goal (refer to Table 5). Responsibility charting provides a ready reference table for use at team building sessions to that all persons know how their individual tasks fit into the overall picture.

The levels are:

- Responsibility to see that decisions or actions occur
- Approval of actions of decisions with right to veto
- Support of actions or decisions by provision of resources with no right to veto
- Informed of action or decision but with no right to veto

Implementation tasks/time lines:

Once responsibility has been assigned for the various decisions and acts that must take place, specific objectives must be assigned and scheduled to ensure that the policies and goals are being met.

TABLE 6

TASK DEADLINE CHART

DEADLINE FOR TASK					
TASK	30 DAYS	60 DAYS	90 DAYS	120 DAYS	180 DAYS
GATHER STATISTICS	X				
RECRUITING HIRING			X		
EQUIPMENT INVENTORY/PURCH		X			
TRAINING		X	X	X	
TEAM BUILDING	X	X	X	X	X
EVALUATION OF PROGRAM		X	X	X	X
DEVELOP CONTRACT	X	X			

SECTION FOUR:

CONCLUSIONS, RECOMMENDATIONS, AND FUTURE IMPLICATIONS

In the final portion of the study the issue and sub-issue questions are answered, recommendations for action to better prepare California law enforcement agencies to meet the future are made and, suggestions are made for future study.

The Issue Question: What will the status be of small police departments providing contracted police services for county areas by the year 2001?

In the introduction to this study, traditional methods of providing law enforcement services were explored. Each of the methods has strengths and weaknesses. Larger agencies offer economies of scale and professionalism through specialization. Smaller agencies are more responsive to community needs since they are subject to greater local control. All of the research literature dealt with the issues of local control and costs. Costs of providing law enforcement services are rising. Revenues are decreasing because of such voter mandated taxation and spending limitations. At the same time, public expectations of government and law enforcement are rising. County government seems to be more sensitive to loss of funding because of the larger number and variety of services that they must provide. It was felt that shrinking revenues and rising expectations would lead to a negative impact on the ability of Sheriff's departments to provide law enforcement services to county areas. County islands existing inside cities are common. They are difficult for Sheriff's deputies to reach since access is only through the city which surrounds it and often requires a lengthy response time to calls for services. It was felt that these factors indicated that there was an emerging future issue worthy of study. A group forecasting exercise defined the future by developing a set of trends and events.

The environment of the future is one where:

- Public expectations of police services will be higher than law enforcement will be able to deliver.
- Revenues available for county government will not keep up with funding needs and counties will not be able to deliver services at current levels.
- Crime rate will be higher in ten year than it is today and will be higher than is acceptable to the public.
- Regionalized policing will be dramatically under-utilized.

- Public satisfaction with law enforcement will be significantly lower in ten years than it is today. All of the other trends will serve to exacerbate this trend.

What is clear from these trends is that providing law enforcement services is going to be increasingly difficult in the next ten years. In his article about consolidation, Stanley Bolas said, "During these tenuous times, the public carefully scrutinizes the benefits received vs. cost expenditures".[17] Based the data trend developed in the group forecasting exercise and possible future events, a scenario was developed. The "feared but possible" scenario presented a bleak picture of the future. The Sheriff was unable to provide law enforcement services because of reduced staffing levels.

From the scenario and an assessment of the environment of the Vista Mar Police Department, a strategic plan was developed bring about an achievable and more desirable future. A future where Vista Mar would prepare to provide and actually provide law enforcement services when the Sheriff was no longer able to provide those services.

The elements of that plan are:

- Gain the support of the Chief and City Manager. Their support is key to free up necessary staff time for study and implementation.
- Political counterparts of the city and county must meet and agree to proceed with the concept of contracted law enforcement services provided by Vista Mar.
- Service levels must be examined to determine what is desired by county residents and what basic level of service will be provide by Vista Mar.
- Cost comparisons are made between what was provided by the Sheriff and what will be provided by Vista Mar. It is necessary to ensure that value is provided/received for the cost of the services.
- Issues of local control and input must be satisfied. It is key to the entire concept that there be greater communication between the county residents and the Vista Mar Police Department than existed with the Sheriff's Department.
- A watchdog committee is established to ensure that all terms of the contract are adhered to and to provide a forum for citizen comments about how law enforcement services are provided by Vista Mar.

In order for reverse contracting to take place, the threshold sub-issue questions will have to be answered.

What will determine the willingness of residents of the contiguous county areas to police services from the municipality?

The simple answer is that there will be substantial benefits to the residents.

- They will receive law enforcement services from a municipality where the Sheriff was able to provide a low level of service or none at all.
- They will be able to have greater influence in the operations of their law enforcement provider. This will be the result of being served by a smaller agency which is more agile and responsive than larger agencies tend to be.
- They will receive law enforcement services from a municipality that, because they surround or border the county area, has geographic and political concerns in common with them.
- Costs are more easily controlled. Smaller, agencies are less inclined to have expensive specialized functions.

The analysis of whether or not county area should contract for law enforcement services from a municipality should incorporate both general community characteristics and specific needs of the county residents. A municipal agency dedicated to, and built on, the value of responsiveness to the needs of the community could address the issues the that will be foremost in the minds of those residents. They must perceive that value delivered for money paid is in balance.

What will determine the willingness of the municipality which controls the small police agency to provide police services?

The basic answer to this question is, the level of threat to the municipality.

- The municipality must have strong assurances that it will be protected from providing services for which it has not been paid.
- The issue of local control will also be quite strong but manifested in a slightly different

way. The thrust will be one of losing that sense of ownership through sharing with someone else.

- There will have to be assurances that the level of service for the municipality will not be diluted by the contract.

In many of the articles and Command College papers scanned for this study, the common issue of local control and local identity continuously arose as a chief concern. It is clear from all the literature that local control often moves to the forefront of any analysis to determine who and how law enforcement services are provided. Local communities were found to have exercised greater control over smaller departments because the smaller departments are required to be more responsive and sensitive to public moods.[18] This is supported by Jack Storne who concluded in his Command College paper on regionalized policing that the problem areas which must be dealt with are primarily political and social issues--loss of local control and the strong feelings of ownership of "their" law enforcement provider.[19]

What will determine the willingness of the county Board of Supervisors to enter into a contractual relationship for law enforcement services with the municipality?

The Board of Supervisors will support such a plan if:

- They can be assured that they will not suffer a major reduction in political power or,
- They can be persuaded that their support may enhance their voter appeal for having the foresight to take such a innovative approach to mitigate an undesirable future.
- There are safeguards to ensure that services are provided as promised.
- The impact of such a plan on revenues available for other areas of county government responsibility is not impacted too severely.

Certainly, this recap of some of the thoughts available on the issue of who and how law enforcement services will be provided is not a revelation. What is noteworthy is that even though the issues have remained the same, there has not been a strong move toward wholesale contracting with Sheriff's agencies for law enforcement services. Nor has there been a

significant increase in regionalization. What remains is the possibility that another model will emerge as a viable alternative to the future--contract law enforcement services provided by a municipality to county residents (reverse contracting).

Recommendations:

Managers of small police agencies must carefully monitor the trends and events developed in this study as well as trends and events that are specific to their own geo-political area to ensure that they will be able to meet the future. The future will include some fundamental changes in the way that law enforcement services are provided. In the 90's the leaner more responsive agency that provides the greatest range of services will be the one that meets the public's expectations.

Implications for the future

There is no panacea of solutions for the question that this statement raises---how? What is indicated by this study is that reverse contracting is certainly one model. During this study, several areas of possible future study were identified.

- A model should be explored based on the municipal agency providing general patrol while the Sheriff"s agency provides service functions.
- Another area for study that occurs is an offshoot of the above model but substituting private security for sworn officer patrol functions with the more expensive sworn officers performing specialized investigation and in progress call handling.
- What model for providing law enforcement services would emerge if the Sheriffs of California were mandated by legislation to divest themselves of patrol functions.

It is expected that the opportunities for contracted law enforcement services provided to contiguous unincorporated county areas will increase. The increase will be driven by financial constraints and political issues. The extent to which reverse contracting moves to the forefront will be determined by both the degree of local control that is demanded and the willingness of the public to make financial tradeoffs to achieve local control.

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APPENDIX A

NOMINAL GROUP TECHNIQUE

Methodology:

PHASE I

Selection

The Nominal Group Technique (NGT)(Appendix J) was selected to identify the trends and events that will impact the Issue Question. The purpose of this selection was to provide a cross sampling of different disciplines and points of view to ensure that the Issue Question would be properly explored. The group members were selected for their knowledge of operations of Sheriff's Departments, city politics and government, and budget and finance. The group consisted of a City Manager, a Vice-Mayor (who is also a financial advisor), a City Council Member, two Chiefs of Police from small agencies (less than fifty personnel), two Police Captains (also from small police agencies), a Sheriff's Commander, and a Sheriff's Lieutenant.

Application

Because of the complexity of the Issue Question, the time constraints expressed by the group members and the lack of knowledge about the process by the group members, a modified NGT approach was implemented. The group members received a confirming letter (Appendix B) after initial telephone contact. In the letter was an explanation of the process and a list of sample trends and events. The trends and events were deliberately vague and brief in order that the group members would not be predisposed by the list. Once the group was assembled on Friday, May 31, 1991 a "round robin" recording of ideas in addition to the ones which were mailed to the group members was conducted. These were then reviewed for clarity, lack of direction and consensus of understanding. Many of the Trends and Events were combined or consolidated. Following the conclusion of the clarification process, the group was asked to rank the final lists of trends (Appendix C) and Events (Appendix E).

PHASE II

Trends

The group members were asked to first vote for the five Trends from the list of 31 that they felt were most valuable to the Issue Question and the Sub-Issues in the context of providing a good long range forecast of the selected Trends. After the results of the initial vote were

tallied they were discussed to ensure that there was a consensus of agreement about the selected Trends. The group was comfortable with the results of the initial vote and no adjustment was necessary.

The selected Trends are listed in rank order.

1. Public expectation of police services. This trend was defined as the expressed or stated services that the public expects from their police agency without regard to ability of the provider.
2. Revenues available for County Government. This trend was defined as the amount of money (revenues) available for use by County Government. The revenues could be from any source.
3. Crime rate. This trend was defined as the rate of reported crimes without regard to type or source.
4. Use of "Regionalized Policing". This trend was defined as the amount or number of separate police agencies that are reorganizing into one single "regional" agency based on common geographic areas or political sphere of influence.
5. Public satisfaction with level of law enforcement services received. This trend was defined as the expressed or stated satisfaction with the level of services actually received from the servicing agency.

PHASE III

TREND EVALUATION

The five selected trends were evaluated by the group using the Trend Evaluation Form (Appendix IV). The group was instructed to view today as "100" and to apply the following questions to each trend:

Nominal Forecast

"What do you think each Trend level was 5 years ago, and what do you think each Trend level will be 5 years from now and 10 years from now?"

Normative Forecast

"In your opinion, what do you think the level of each of the Trends should be in 5 and 10 years from now? This is a value judgement, something to work toward; a goal for the future."

The results of this exercise are displayed in Table 1: Trend Evaluation

The group generated, in a "round robin" fashion, a list of candidate events. That list was further discussed, clarified and consolidated as necessary to finally arrive at a list of 46 candidate events. That list was further discussed and voted on to generate the list of the final five events that would be used in the forecasting phase of the process. The group then voted on the five events that they felt had the highest probability of occurrence, the greatest potential to be impacted by policy decisions, and most significantly would impact the Issue Question and Sub-Issues.

EVENT EVALUATION

After refining the number of events to five, the group was asked to forecast them on a percent probability scale. An "Event Evaluation Form" was used. It was explained that the value of zero indicated that the event was not forecasted to occur, and a value of 100 indicated that the event would probably occur. Each group member was asked to provide an "Interval Probability" forecast, when the probability of the event occurring would first exceed zero. The "Cumulative Probability", what the subsequent probabilities would be at five and ten years were also forecasted. Additionally, the group was requested to rate the net impact, positive and negative, on the Issue Question and the Sub-Issues, should the events occur. The medians of the results of this exercise are displayed in Table 2, Event Evaluation.

APPENDIX B

NGT LETTER

NAME~
ADDRESS~
CITY~

Dear SALUTATION~,

Thank you for consenting to participate in the Nominal Group Technique(NGT).

The NGT will be held on Friday, May 31, 1991 from 9:00 am to 1:00 pm at:

Tiburon Police Department
1155 Tiburon Boulevard
Tiburon, CA 94920

Briefly, an NGT is a process whereby a group of experts are polled for a consensus of ideas. Those ideas will enable me (as the moderator) to prepare a view of the future as it impacts a specific issue. The issue that I have chosen to study is:

> What will be the status of small Police Departments providing contracted police services for contiguous county areas by the year 2001?

During the approximately 4 hours that the group will be together it will attempt to identify events and trends that it believes will impact the issue as defined. Those events and trends identified will be culled down to a manageable few and then rated as to impact and importance by the group. The results will be used by me to prepare a final written view of a possible future.

I have enclosed for your review a few example events and trends to aid you. Please take a moment to think of some events or trends that I have omitted that you feel are germane to the issue. There are few limitations on an event. It should be clear, singular, and its occurrence easily marked. A trend is a series of events, over time, which indicate some identifiable way that "things are going".

I will provide all writing and other materials that you will need. You need only bring your expertise and valuable ideas.

Lunch will be provided. In order to minimize the impact on your busy schedule, we will eat in the meeting room.

Again, thank you for your help. Each member of the group is vital and a minimum number of participants is necessary to produce the desired results. If a schedule conflict arises please let me know as soon as possible.

STEVEN G. LEWIS,
CAPTAIN

APPENDIX C

TRENDS

1. ***Tax revenues available to county government.***
2. Ability to attract, retain and utilize qualified employees and volunteers.
3. Major crime investigations.
4. Demographics (diversity) of county .
5. Drought.
6. Use of Joint Powers Agreements.
7. ***Regionalization of police departments.***
8. Use of technology by law enforcement.
9. Demand for wages/benefits by public sector employees.
10. ***Crime rate.***
11. Local community resistance to change.
12. Daytime occupied homes.
13. Use of civilians in law enforcement.
14. Homeless.
15. Demand for "more service for less money".
16. Counties file for bankruptcy.
17. Transfer of responsibility for State mandated programs.
18. Special "Safety Protection Districts".
19. Level of law enforcement services provided to county residents.
20. Growth/No growth.
22. Desire for annexation by county residents into cities.
23. ***Public satisfaction level with law enforcement services received.***
24. "Privatization" of police services.
25. Condition of infrastructure.
26. ***Expectation of police services.***
27. Alternatives to Jail incarceration.
28. Traffic related hostility.
29. Proactive marketing effort by Government.
    (municipalities bidding against each other to be service provider)
30. Local control and identity as a community.
31. Prison population.

Trends selected for forecasting are highlighted.

APPENDIX D

Figure 1

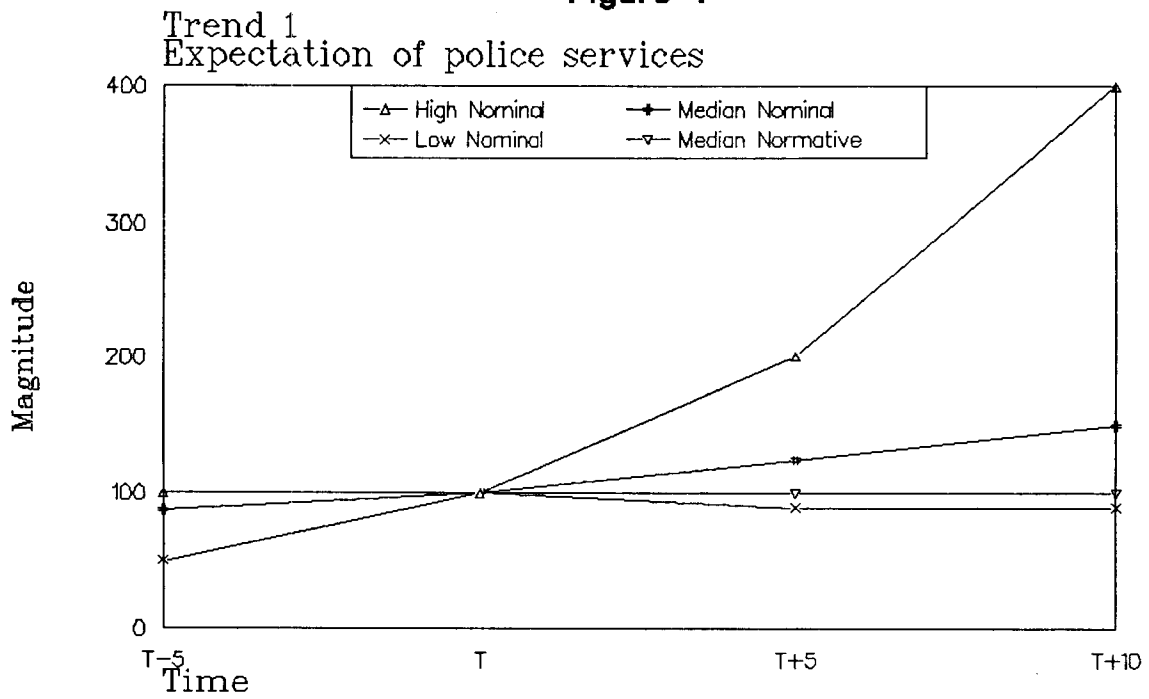


Figure 2

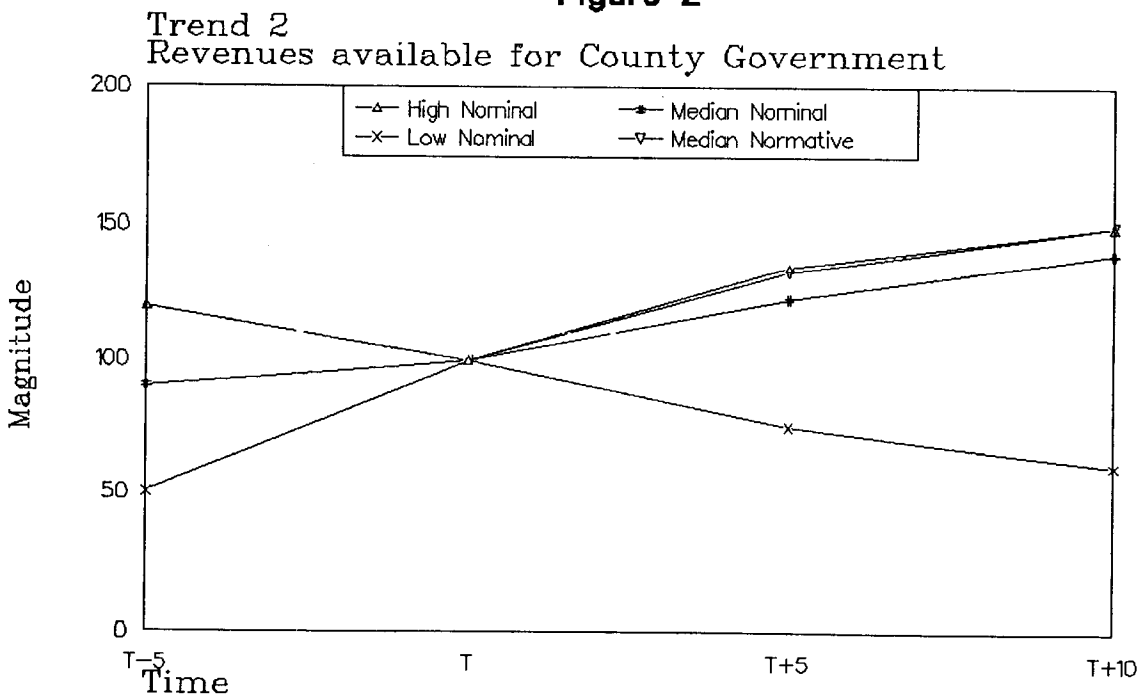


Figure 3

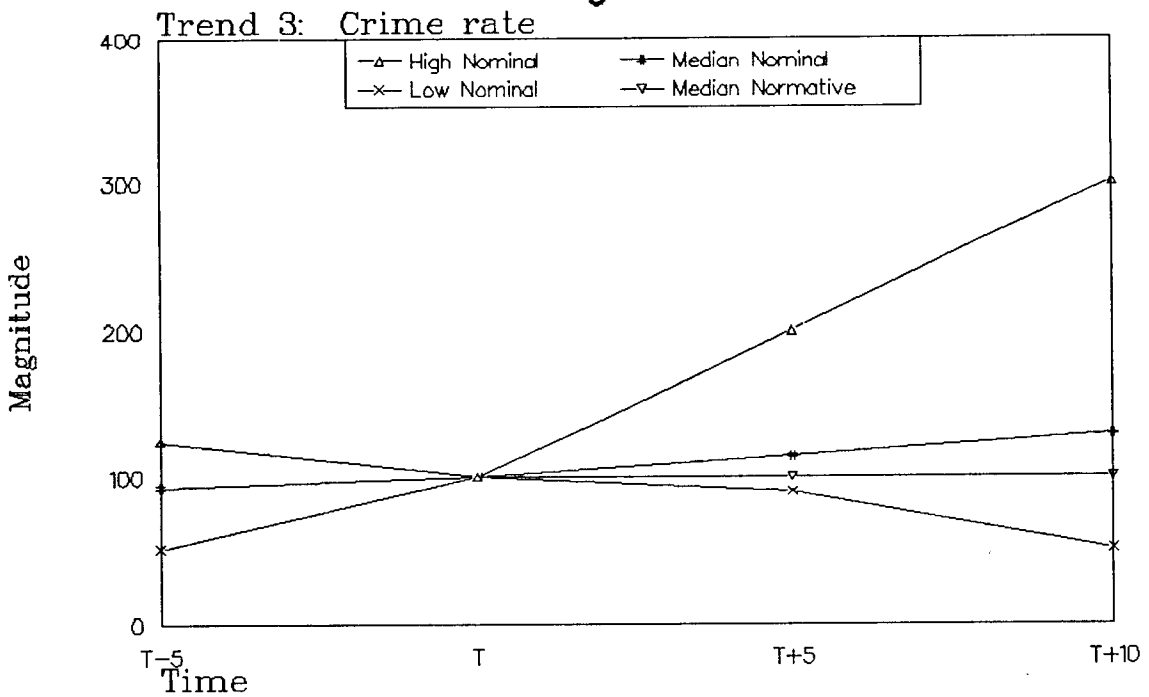


Figure 4

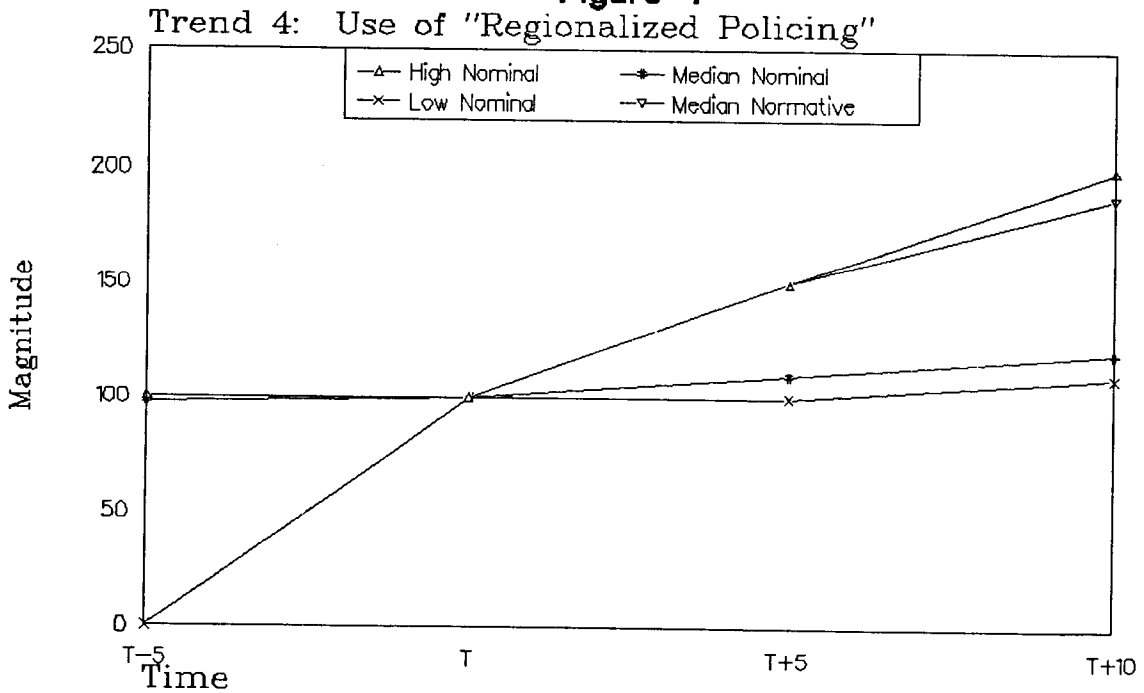
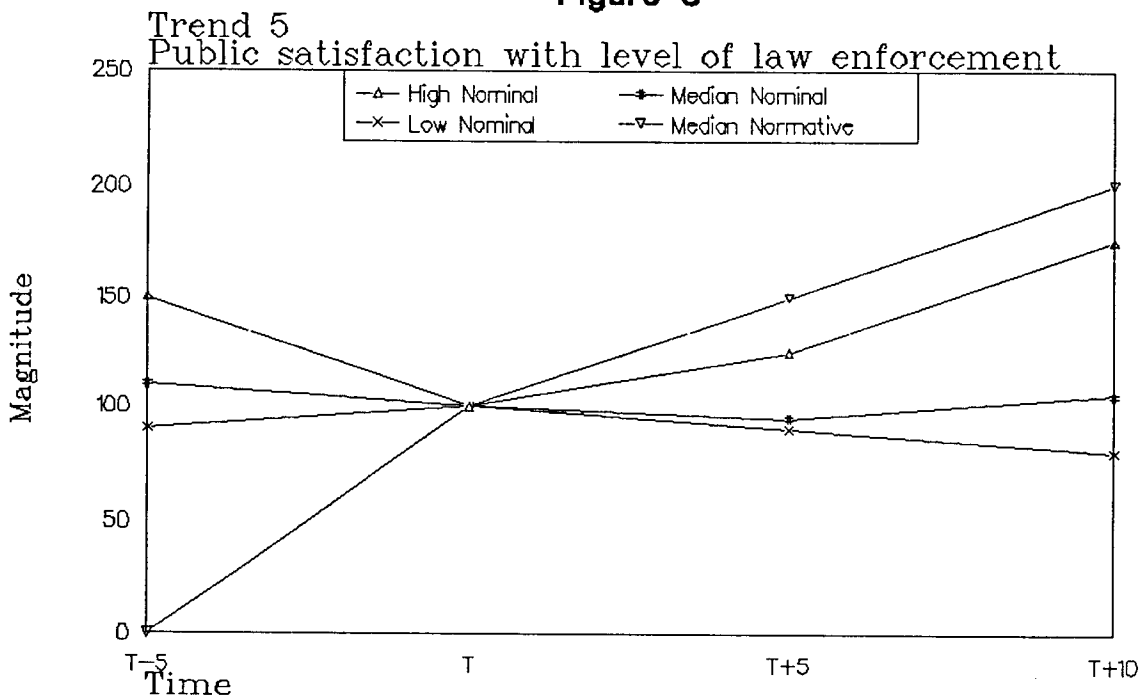


Figure 5


Trend 5
Public satisfaction with level of law enforcement
High Nominal
Median Nominal
Low Nominal
Median Normative
Magnitude
250
200
150
100
50
0
T-5
T
T+5
T+10
Time

APPENDIX E

EVENTS

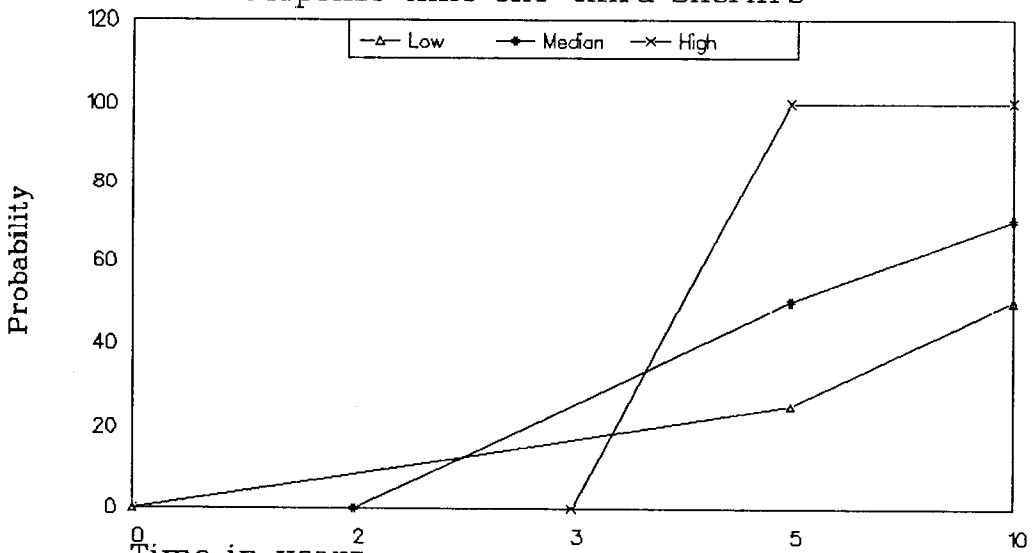
1. Global war.
2. ***County bankruptcy.***
3. City government disbands/fails.
4. ***State withdraws all collateral funding.***
5. Natural disaster(s).
6. New sheriff elected.
7. New city manager hired.
8. New city council elected.
9. Complete change in board of supervisors membership.
10. New chief of police hired.
11. Annexation of county areas.
12. City disbands police department.
13. ***State mandates sheriff to provide only jail and court staff.***
14. Proposition 13 repealed.
15. New taxation limitations imposed by voters.
16. Democratic president elected.
17. Congress becomes republican controlled.
18. County enacts $.02 Sales tax.
19. Gasoline prices double.
20 Drug "turf war" erupts in entire county.
21. ***Response time by municipal police units is less than one third that of sheriff units.***
22. Sheriff employees go on strike.
23. Municipal police go on strike.
24. City goes bankrupt.
25. Acute water briefage for 5 years
26. Utilities tax enacted by city
27. Utilities tax enacted by county.
28. City general plan changed.
29. County general plan changed.
30. SB 2557 repealed
31. 40-50% of Police Department personnel retire.
32. City Police Department lays off personnel
33. Mandated regionalized planning.
34. Immigration standards lowered to admit 50% more immigrants.
35. Decriminalization of "controlled substances".
36. Local municipal lotteries legalized.
37. Medical solution to drug addiction (pill which removes cravings without addictive side affects).
38. Cure/prevention for Aids discovered.

39. National depression.
40. Respect for authority doubles as result of Gulf War.
41. Another "Rodney King" incident.
42. Non-chemical alternative to lethal force found which painlessly renders the subject unconscious.
43. Large scale rioting not restricted to inner cities.
44. Unemployment rate reaches 9%.
45. Whites become "minority' in California.
46. ***Personnel reduction precludes Sheriff's patrol capability.***

Events selected for forecasting are highlighted.

Figure 6

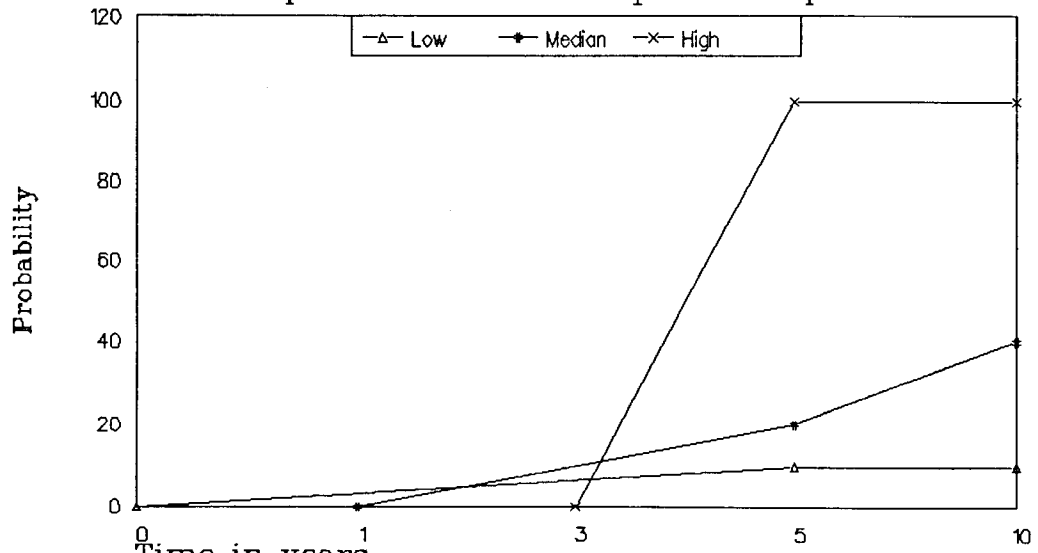
Event 1
Police response time one-third Sheriff's



Time in years
Positive Impact 9
Negative Impact 1

Figure 7

Event 2
Sheriff's personnel reduction precludes patrol



Time in years
Positive Impact 9
Negative Impact 1

Figure 8

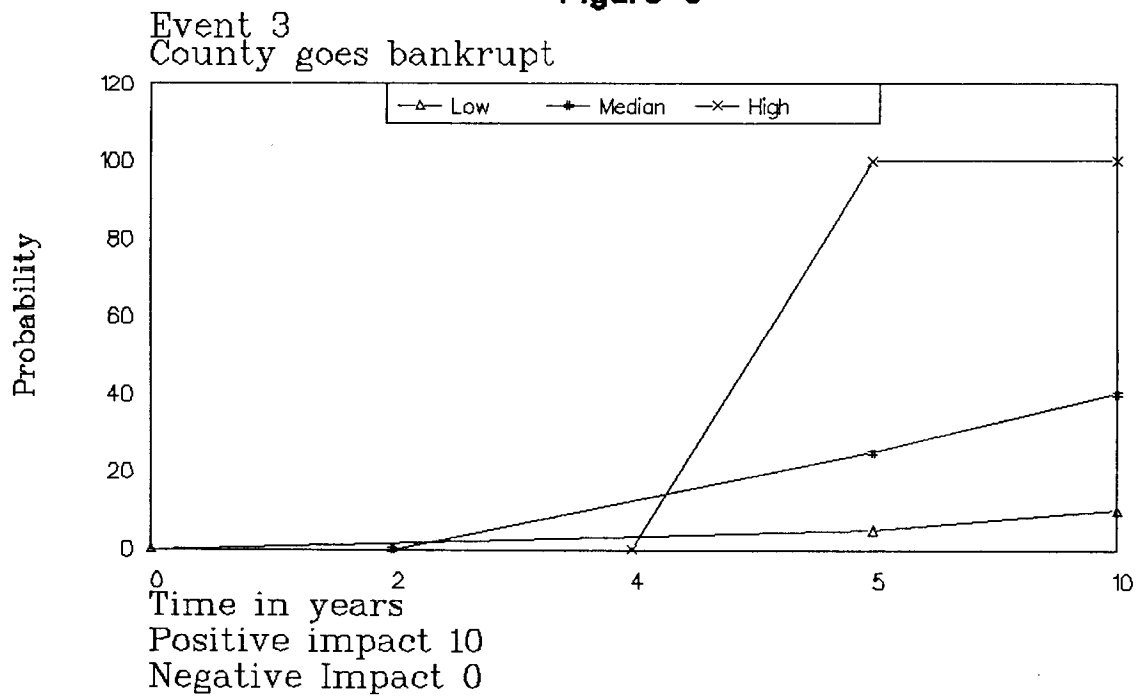


Figure 9

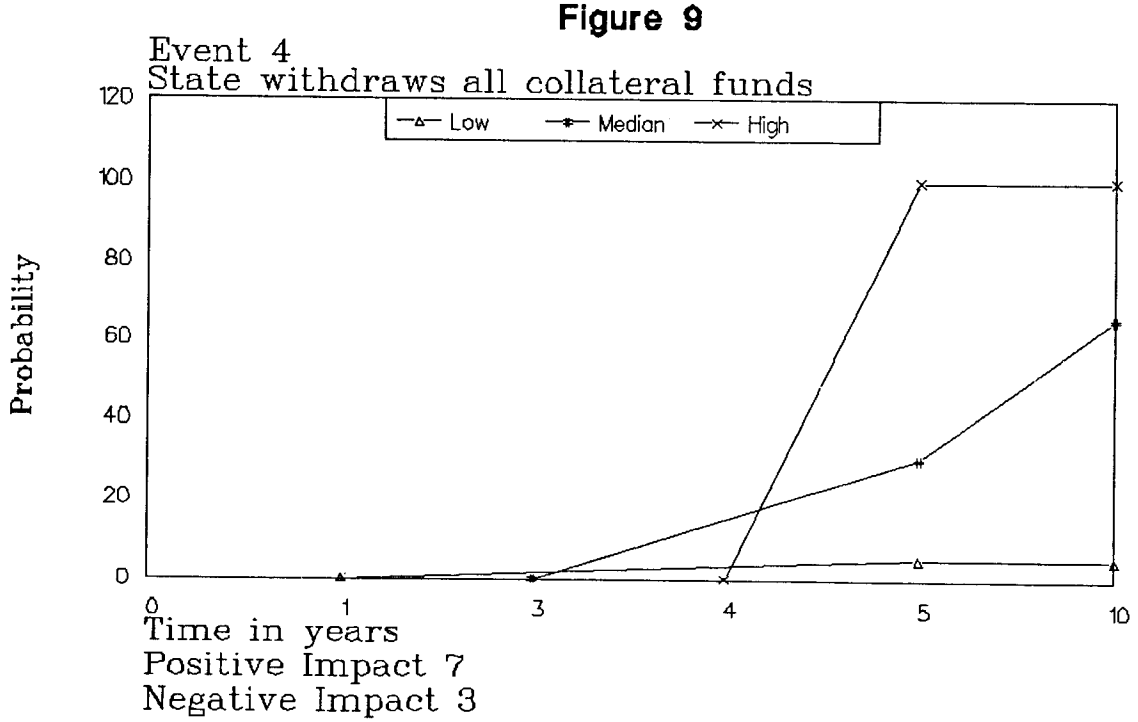
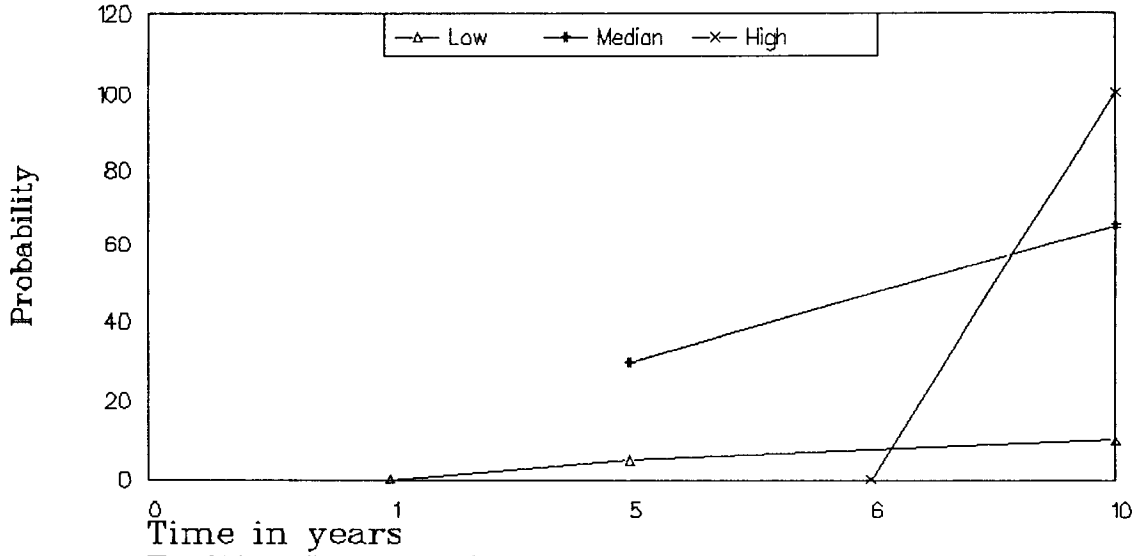


Figure 10

Event 5
State mandates Sheriff staff court and jail only



Time in years
Positive Impact 10
Negative Impact 0

APPENDIX G

STAKEHOLDERS

- Merchants of Municipality
- Merchants of County Area
- Citizens of the County Area
- Sheriff
- Board of Supervisors Members
- City Administrator
- Municipal Sworn Employees
- Municipal Non-Sworn Employees
- Criminals
- Attorney General
- P.O.S.T.
- Elderly
- Attorneys
- Agencies
- CHP
- Chamber of Commerce
- Merchants of Municipality
- Citizens of Municipality
- County Administrative Officer
- City Council
- Insurance Companies
- Sheriff's Sworn Employees
- Sheriff's Non-Sworn Employees
- Homeowners Associations
- Department of Justice
- District Attorney
- Private Security Companies
- Other Contiguous Municipal Police
- A.C.L.U.
- Other City Departments

APPENDIX H

Stakeholder Assumptions:

A. City Council

1. Services to the residents or the municipality will be negatively affected (diluted) by providing services to the county residents and their sense of security will diminish.
2. There will be a feeling that residents of the municipality should receive priority for calls for service.
3. Providing law enforcement services for county residents may result in the municipality subsidizing the county area when actual costs exceed contract price.
4. There will be an increase in level and quality of service because of increased staffing levels.

B. Citizens of the Municipality

1. Services to the residents or the municipality will be negatively affected (diluted) by providing services to the county residents and their sense of security will diminish.
2. There will be a feeling that residents of the municipality should receive priority for calls for service.
3. Providing law enforcement services for county residents may result in the municipality subsidizing the county area when actual costs exceed contract price.
4. There will be an increase in level and quality of service because of increased staffing levels.

C. Citizens of the County Area

1. They will be concerned about receiving appropriate levels of service for the fees that they will pay.
2. They will believe that they will have a greater input or voice in enforcement policies and operational parameters.
3. There will be an adjustment to the enforcement methods of the municipality from those of the Sheriff.

D. City Manager

1. The City Manager will be very concerned that the amount of services received by the county residents does not exceed what was paid for.
2. Administrative duties will increase.
3. Civil liability will increase putting the city at greater financial risk from law suits.
4. The community (those persons residing in the same political sphere of influence) as a whole would benefit from the such a contract arrangement.

E. Chief of Police

1. There will be an added duty of ensuring that adequate staffing levels are provided for the municipality to prevent any dilution of services and for the county area residents to ensure that the contracted for level of service is provided.
2. There will be increased administrative demands placed on him and the staff.
3. There will be increased demands placed on the department's ability to provide adequate material (vehicles, uniforms, the police facility and other essential equipment).

F. Board of Supervisors Members

1. As elected officials, they will be concerned about losing a political power base because they can no longer directly effect the level of law enforcement and therefore the feeling of security of their constituents.
2. They will be concerned about a loss of revenue to the County when those revenues are diverted to pay for contract law enforcement services.

G. Municipal Sworn Employees

1. A larger variety of mobility and choice of assignment will offer a more diverse work environment because the total work force will have to increase to handle the increased population.
2. Poor relations between the Sheriff's Deputies and city Police may result from deputies being displaced from their jobs.

H. Municipal Non-Sworn Employees

1. They may be resistive to the program because of a perception that they will be expected to accept greater job responsibilities resulting from increased sworn personnel staffing levels while they remain frozen at current staffing levels.

2. They may demand that their job descriptions change to reflect changes in responsibilities. This may result in an increase in non-sworn employees.

I. County Administrative Officer

1. The CAO may see the fee charged by the municipality as a loss of revenue that is not directly offset by reduced county operational costs.
2. Reverse contracting may be a way to decrease personnel expenses and a benefit to the county budget.
3. The CAO will be concerned that the fee for the contract does not exceed what providing law enforcement services to the county residents currently costs.

J. Sheriff

1. The Sheriff will be greatly threatened by such a program. He will be concerned about a loss of political support and loss of power since he will not be receiving the votes from the county residents subject to the contract with the municipality.
2. The Sheriff may fear a budget cut by the CAO because of the reduction in police service personnel.
3. There will be a loss of prestige causes by the perception that the county residents felt they had to look elsewhere to receive adequate law enforcement services.

K. Sheriff Sworn Employee Group

1. This group will be very resistive to the program. They will be threatened by the loss of jobs and prestige.
2. Hostility between the Sheriff's Deputies and the municipal Police will be strong causing low cooperation between the organizations.

L. Other Municipal Agency Bordering the County Area

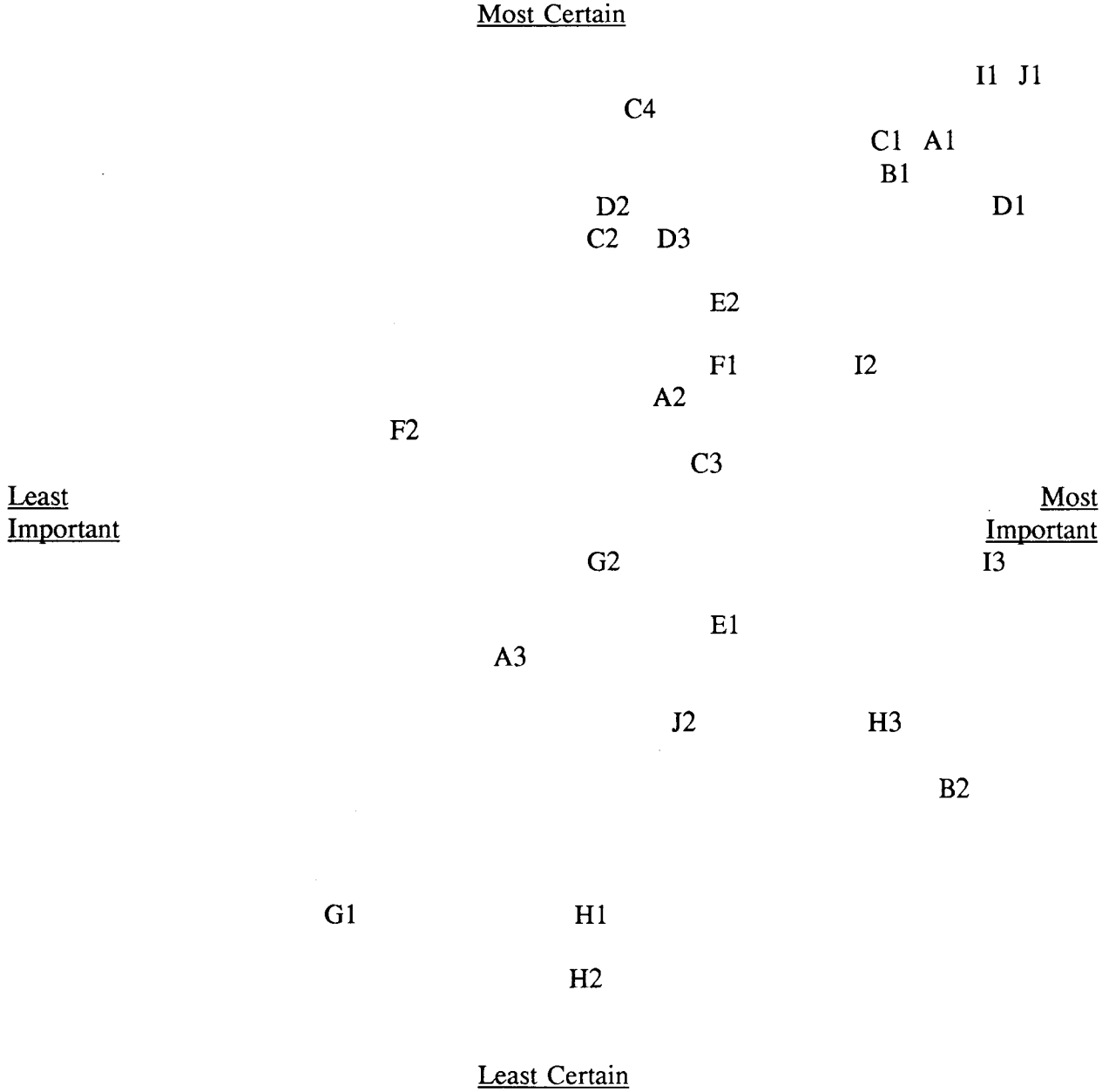
1. Another municipal Police agency may see an opportunity to increase their revenue and level of influence. They may engage in competitive bidding for the same county area.

M. A.C.L.U.

1. The ACLU may see this program as creating an environment for disparate treatment of the county residents because of different service levels or lack of equality in receiving priority services.

APPENDIX I

Strategic Assumption Map



Appendix J

Group Members Lists

Nominal Group Technique (NGT):

Robert L. Kleinert, Town Manager, Town of Tiburon
Al Kuhn, Mayor, Town of Tiburon
Michael Friedman, Councilmember, Town of Tiburon
Peter G. Herley, Chief of Police, Tiburon Police Department
Peter Brindley, Chief of Police, Mill Valley
Tony Hoke, Captain, Twin Cities Police Department
Rich Schmidt, Captain, San Anselmo Police Department
James Sida, Commander, Kern County Sheriff's Department
Dennis Schueller, Lieutenant, Alameda County Sheriff's Department

Cross-Impact Analysis:

Peter G. Herley, Chief of Police, Tiburon Police Department
Tony Hoke, Captain, Twin Cities Police Department
Rich Schmidt, Captain, San Anselmo Police Department

WOTS-UP Analysis:

Peter G. Herley, Chief of Police, Tiburon Police Department
Steven G. Lewis, Captain, Tiburon Police Department
Thomas A. Aiello, Sergeant, Tiburon Police Department
Laura A. Judd, Sergeant, Tiburon Police Department

Developing Alternative Strategies:

Robert L. Kleinert, Town Manager, Town of Tiburon
Peter G. Herley, Chief of Police, Tiburon Police Department
Peter Brindley, Chief of Police, Mill Valley Police Department
Rich Schmidt, Captain, San Anselmo Police Department
Steven G. Lewis, Captain, Tiburon Police Department

TABLE 4

COMMITMENT CHART

CRITICAL MASS INDIVIDUALS	BLOCK CHANGE	LET CHANGE HAPPEN	HELP CHANGE HAPPEN	MAKE CHANGE HAPPEN
CITY MANAGER			X↔O	
CHIEF OF POLICE				X→O
CITY COUNCIL		X→	→O	
SHERIFF	X→	→O		
RESIDENTS OF THE COUNTY	X→	→O		
CAPTAIN				X↔O
BOARD OF SUPERVISORS	X→	→	→O	

This chart depicts the current level of commitment of each of the "critical mass" individuals and the level to which they must be moved to ensure success of the implementation plan.

"X" -- Current Level

"O" -- Desired Level

TABLE 5

RESPONSIBILITY CHART

DECISIONS/ ACTS	ACTOR					
	CHIEF (Project Director)	CITY MANAGER	COUNCIL MEMBER	COUNTY RESIDENT	CAPTAIN (Project Mgr.)	DEPARTMENT STAFF
GATHER NECESSARY STATISTICS	A	I	\	A	R	S
MAINTAIN CITY MANAGER SUPPORT	R	A	\	\	S	\
MAINTAIN COUNCIL SUPPORT	R	R	A	\	S	\
DEVELOP CONTRACT	A	A	A	A	R	S
MAINTAIN MUNICIPAL RESIDENT SUPPORT	S	R	R	\	S	\
PROGRAM COORDINATION	I	I	I	I	R	S
EVALUATION	A	A	I	I	R	S
RESOURCES STUDY	A	I	I	S	R	S

Legend

R = Responsibility (responsible but does not necessarily have the authority to veto)
A = Approval (must approve, has the poser to veto the action)
S = Support (has to provide resources, but does not have to agree to the action)
I = Inform (must be informed before action, but cannot veto)
\ = Irrelevant to that particular action