

WHAT SHOULD THE IMPACT OF PROFESSIONAL STANDARDS UNITS BE ON
ORGANIZATIONAL PERFORMANCE BY THE YEAR 2006?

A project presented to
California Commission on
Peace Officer Standards and Training

by

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The Command College Project is a FUTURES study of an 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 considerations.

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 the planner can respond to a range of possible future environments.

Managing the future means influencing the future, creating it, and adapting to it. A future study points the way.

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

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CHAPTER ONE

ISSUE IDENTIFICATION AND LITERATURE SCAN

Learning is not compulsory. Neither is survival.

W. Edwards Demingⁱ

Introduction

This project on the impact of Professional Standards Units on organizational performance was completed for the State of California Commission on Peace Officer Standards and Training (POST) Command College. It focuses on the ways in which a formalized Professional Standards Unit can examine agency performance standards and processes to improve the agency's ability to deliver service to the public. This unit also can assist in assessing the agency's professional obligations to the public, and the short-term and long-term costs associated with an organization's failure to audit and correct performance.

The project is designed to prompt law enforcement agencies to think about the nature of professional standards and to explore performance-tracking methods available through implementation of a Professional Standards Unit. It is written to promote internal auditing as an integral part of any agency's professional responsibility and as a way of encouraging police agencies to explore practices outside the scope of law enforcement in order to improve service delivery. Police performance is the integral element in making safer communities. The future will find communities demanding that concepts such as best in class, benchmarking, and SWOT analyses become part of the basic processes of policing. Recent threshold events explored in this paper clearly indicate that future improvement will be measured by standards outside the scope of traditional police methods and that a Professional Standards Unit can impact that future.

The first chapter describes current industry climate regarding police performance and some topical behaviors that have focused the public on police behavior and related service delivery. It explores the literature regarding performance auditing and the capabilities available to law enforcement as a prelude to a discussion on the potential advantages and functional applications of Professional Standards Units.

The second chapter describes the Nominal Group Technique process, which is used to detect trends and events that may mold the development and implementation of Professional Standards Units. These trends and events, in combination with the well documented capabilities of auditing units and knowledge of the contemporary police landscape, were used to develop future scenarios that describe possible outcomes derived from a varied utilization of a Professional Standards Unit. The future will require that police agencies regularly employ subject matter experts outside the traditional scope of the organization as resources to improve police performance. Performance improvement is contingent on unfiltered information from all concerned stakeholders.

The third chapter identifies strategies for developing a comprehensive Professional Standards Unit that serves the needs of the organization as more than a misconduct detection function. These strategies are explored in contrast to central themes in change management and the institutional character of police agencies to resist mixing the requirements of policing with the demands of the private sector. A strategic plan that strives to identify concerned parties in this process, key resources within the public and private sector, and influences that may act to facilitate or constrain the impact of this future is offered.

The project concludes with an analysis of the implications surrounding the adoption of a Professional Standards Unit as an integral part of an agency's culture. The strategies an agency

must employ to produce a future that interfaces the raw material of policing with a dynamic definition of community are critiqued in light of the increasing demands for responsive and professional policing.

Issue Statement

This project attempts to answer this question: What should be the impact of Professional Standards Units (PSU) on organizational performance by the year 2006? Professional Standards Units are defined as internal units whose primary function is to audit agency performance, examine approaches to improve performance, and make recommendations for change. Law enforcement agencies are any agencies whose full time mission is public safety. Performance is defined as all behaviors in which the agency engages in order to fulfill its mission.

Literature Review and the Current Climate

What standards of performance apply to the police? What are standards? How would we know whether they are too high, too low, or even if the standards are reasonable? What does the public have a right to expect? These are the questions that are animating discussions and debates as the fundamental responsibility of the police and their relationship to the public is called into question. The questions have always been topical but rarely asked except in times of crisis or pressure. We have such times now. The intense media attention given to corruption scandals and systemic dysfunction in departments such as Los Angeles, New Orleans, and New York have made the issue of police accountability and control front-page news.

An audit implies a measurement against a standard. In Program Planning and Evaluation for the Public Sector Manager, the authors state, “The question of how we are doing expresses

the need to make comparisons to similar programs, professional standards, or the quality or performing standards the agency sets for itself.”ⁱⁱ Asking how we are doing questions the responsibility of the organization but it also expresses the rights of those outside the organization who receive the service. It is therefore both a need and an obligation in policing.

Policing occasionally appears to function as a kind of monopoly, with a logic that projects market-like ideals. The public is encouraged to move, or shop the market, if they do not like the standard of service. Jurisdictions are challenged to merge or be taken over by larger jurisdictions if they cannot meet the market costs. In fact, some people do move and some jurisdictions do merge. However, this approach implies that the responsibility for change in the police/public relationship lies with the public and not with the police agency. This is a questionable definition of change at best. Outside change may occur, but the agency’s performance may remain the same. Questions of performance standards still remain for the agency to deal with in a measured logical way or for an outside entity to perform the task and set the standard. The recent past has shown us that there are concerned, outside stakeholders who relish the opportunity and who are tuned into every nuance of police performance.

The information age has made police performance popular, with the public often deriving their view of police standards based on what they see on television. Performance is a click away and a member of one community is a short plane ride away from becoming part of another community. The viewer/victim gap has shrunk. Technology has made a single public. What were once parochial concerns of one jurisdiction or region have become common concerns. When a use of force was captured on video in our jurisdiction, the Torrance Police Department received calls from within the United States and from other countries.

Current reality is that police performance, in its best and worst forms, gets an immediate taste test. The public doesn't wait for a weekly magazine to publish an account before a judgement is rendered as to the appropriateness of the behavior. The World Wide Web has become a unifying force that has enabled a generation of connected learners and believers to form communities around specific issues of interest. The 2000 World Trade Organization protests in Seattle, Washington and the International Monetary Fund protests were advertised and coordinated over the World Wide Web. Shared information and shared images act to build a shared interest. The standard of police performance in one city, and how that city or jurisdiction deals with it, is now everyone's business. The larger public can impact any jurisdiction through class action lawsuits, boycotts, and political influence.

Most reasonable people can agree that obvious, egregious performance is inexcusable and needs to be identified and corrected. The Police Officer Code of Ethics, adopted to capture the responsibility of the police professional regardless of location or job task, provides a foundational standard. But corruption is not the only aspect of police performance and not the only focus of Professional Standards Units. There is an unfortunate tendency in policing to examine performance in the context of the big-ticket items or as a response to scandal and ignore the more subtle and corrosive aspects of performance. This thought process is often memorialized through numbing cliches that simultaneously remind and rebuke to take care of the big things and not to sweat the little things. This only serves to obscure the incremental deviations that cause the big things and to incubate performance issues instead of solving or identifying the underlying causes. The small issues, taken as part of an organization's systemic behavior, often are the precursors to the larger issues. In the Los Angeles Police Department's Board of Inquiry into the Rampart Incident, the small issues clearly identify themselves as the

raw ingredients of dysfunction. The following remarks summarize the importance of the small things:

Pursuits, injuries resulting from uses of force, officer-involved shootings, and personnel complaints had a clearly identifiable pattern. The same officers appear all too frequently in these critical risk-management events and the number of supervisors involved was extremely noticeable. Yet, no one seems to have noticed and, more importantly, dealt with the patterns. Several officers whose names appeared were disciplined during this period yet went right out and did the same things again. The supervisory and tactical criticisms arising from the officer-involved shootings alone should have focused management attention on these patterns. But that did not occur.ⁱⁱⁱ

Significant consideration to implementing Professional Standards Units to audit, measure, and improve police performance and the quality of law enforcement is needed. Some reasons for measuring police performance were recently delineated in an article entitled, “Measuring an Agency’s Performance” in the October, 2000 issue of Law and Order:

- It will provide the foundation for evaluating and improving service quality.
- It will increase agency accountability.
- It will promote integrity and ethical behavior.
- It will monitor progress in following strategic direction.
- It will promote leadership development.^{iv}

These are reasonable enough assumptions, as it would seem that any industry that counts on the public’s cooperation not only for their budget but also for their mandate would demand that a Professional Standards Unit should exist. Such a unit breeds credibility and credibility is the means of exchange between the police and public. Without it, the cooperation that drives the day-to-day interaction between the police and the public would be imperiled. Bennis and Nanus, in their book Leaders state, “Credibility is the resource that is always at a premium and one that can be enhanced or lost in an instant.”^v

The State of Internal Auditing

Although it may be logical enough to measure performance and plan for the future through a Professional Standards Unit, to what degree is it happening? Is there a mandate for police agencies to measure performance through periodic auditing or through the implementation of an audit unit? A review of the literature reveals mixed results.

On a national level, the Commission on Accreditation for Law Enforcement Agencies (CALEA) is a private, non-profit agency founded to establish standards for police agencies. Founded in 1979 by a broad coalition of police professional organizations concerned with standards of police performance, CALEA contracts their services to police agencies throughout the country on a fee basis. Though employing CALEA standards is voluntary, they have developed several hundred-performance standards. Yet, only one of them addresses internal auditing. Standard 53 delineates the audit function:

The inspectional process is an essential mechanism for evaluating the quality of the agency's operations, ensuring that the agency's goals are being pursued, identifying the need for additional resources, and ensuring that control is maintained throughout the agency.... The inspectional process compares the agency's formal expectations with actual performance. Inspections, conducted with clear objectives and a positive approach, provide a means of communication within the agency, not only "downward" but also "upward." The inspectional process, both at the line and staff levels, provides the chief executive officer and other managers and supervisors with a means of regularly assessing the agency's efficiency and effectiveness and provides information necessary for change.

Clear objectives for the inspectional process should be established: it should be acknowledged that inspectional activity can properly evaluate performance only by comparing it to previously established goals, objectives, policies, procedures, and rules and regulations. All agencies should conduct line inspections, which should be carried out by supervisors at all levels. Larger agencies should have formally organized staff inspection components.^{vi}

CALEA makes an important distinction here between line inspections and staff inspections.^{vii} Line inspections are the degree to which orders and directives that guide the day-

to-day behavior of the organization are followed. Examples might include checking for body armor on officers, required equipment in police units, or adherence to pursuit policy. Staff inspections can be defined as an analysis of the processes, practices, and policies that serve as the social architecture of the agency's mission. Professional Standards Units would and could examine both dimensions. Processes can guide improvement and organizations must organize effective processes to improve. This does not diminish the importance of daily inspections, but serves to underscore the point that the agency must look first at the organizational processes that drive performance. CALEA also requires that a contracting agency adopt an internal auditing function as part of their accreditation standards.

The Commission on Peace Officer Standards and Training (POST) has not yet adopted performance standards for agencies within California, but began an examination of such standards in 1994 based on the CALEA standards.^{viii} To date, standards have not been codified so internal auditing remains a discretionary practice for California agencies. Besides the agencies that are CALEA accredited and must have an auditing function, three large California agencies have auditing or inspection functions. The Los Angeles Police Department, the San Diego Police Department, and the Long Beach Police Department all have specifically assigned and staffed units to handle the audit and inspection function. Though working under different titles and slightly different operational manuals, each Department delineates the mission of the audit process as measuring compliance with agency standards and looking for improvement.

POST certifies and presents hundreds of classes for law enforcement personnel in the State of California. The courses are offered for all ranks. The POST Administrative Manual is the official reference source for these classes. It is significant that there is no listing for auditing, inspecting, or measuring police performance. By contrast, there are 21 different courses

available for interview and interrogation techniques. Professionally and effectively interviewing victims, witnesses, and suspects is an essential part of police work. The public has a right to expect that it is done properly. But, there is also significant, professional literature on performance auditing as a means of preventing problems and identifying future issues that lend themselves to strategic planning initiatives. When I assumed command responsibilities for a Professional Standards Unit in 1998, the only available class that addressed the important issues of internal auditing was entitled, Conducting Organizational Performance Audits Workshop, presented by the San Diego Regional Training Center.^{ix} It was, and is still, offered only once a year in San Diego.

Performance auditing is not a new concept for federal, state, and local government. It is common enough to read about financial and performance audits in many aspects of government. The results of those audits often facilitate personnel changes, organizational restructuring and, on occasion, public embarrassment. Significant audits or work analyses within police work are usually generated after a threshold event. The audits within the Los Angeles and New York Police Departments are just two examples. On a federal level, the General Accounting Office (GAO) provides detailed literature and references for performing the many types of audits that can be done. The GAO provides and defines generally accepted government auditing standards (GAGAS). They are designed to insure that when federal money is spent it is spent according to the standard.^x

Auditing and the Agency Image

Sufficient reasons exist to have Professional Standards Units identify organizational issues that affect agency image, reputation, and individual careers. To do so may require a

change in law enforcement's view of itself and its mission. If the mission is to create relationships that nurture problem solving, then the image of the agency is an important element. The methods and objectives the private sector employs to define the organization's image, and the organization's resulting position in the market, is appropriate and relevant to policing. Image is relevant to performance, and in the case of law enforcement, image contributes to relationships necessary for effective policing. Future effectiveness requires that law enforcement respond to this question: What means are available for law enforcement organizations to improve performance, mitigate dysfunction, and build a constantly improving reputation with the public?

Police organizations are dynamic and in a continuous state of change. Within this dynamic state, Professional Standards Units can assist the agency by defining the environment and providing examples that refine the agency's notion of itself. The physical sciences provide an example and a phrase, critical mass, that is often used as a slang reference in police work but really can serve to explain the urgency of adopting processes that improve performance.

Critical mass in physics is defined as the minimum amount of energy needed to bring about maximum change.^{xi} It can be argued that policing is always at critical mass, with poor performance acting to transform the mass into a state of being that is difficult to control and that causes damage to the individual, the organization, and the profession. When this transformation occurs, damage control is often the first response for the organization. While entirely valid as a means to buy time and reassess the situation, it is not a substitute for the measured and reasonable precautions that organizations can and should implement to improve the performance and mitigate the effects of those critical mass incidents.

These incidents are often repeat behaviors, not just for an individual agency but for the industry. When an incident is repeated, it is reasonable that steps should have been taken to

identify the fundamental issues and correct them. Issues confronting large metropolitan police organizations may appear unique or unrelated to the performance issues of smaller police organizations, but they are not. The macro-organizational dimensions of these scandals sometimes obscure the violation of core values and the dysfunctional processes that enable poor performance.

Deficient performance and the image that it generates are not always the offspring of the large organization or the big corruption scandal. More mundane and subtle behaviors have acted to stigmatize smaller organizations. In 1996, it was discovered that a civilian employee of the Torrance, CA, Police Department's Property Section had committed theft of money and property. The ensuing criminal and administrative investigation, in addition to a detailed special audit of the incident, revealed not only theft but also chronic and systemic lack of adherence to Department policy. Supervisory and management controls were found to be severely lacking. This was made more damaging by the fact that the Department had endured a theft in the Property Section and had conducted an administrative investigation approximately eight years prior.^{xii} The image the public may form of their police department is a function of the department's ability to develop and conform to professional standards of performance.

In a popular television commercial, image is touted as everything. The commercial is designed with the knowledge that the public is heavily influenced by image and makes economic decisions based on that influence. People, things, and organizations may be inherently more complex and dynamic than their image, but images can and do create mental models that substitute for reality. Webster's Dictionary defines image as a tangible representation of a thing.^{xiii} Since we may be limited in our ability to know the whole or the real thing, image acts

as a representative sample or visual shorthand, embodying the essential elements of the thing to make a deeper understanding appear unnecessary.

As a surrogate form of knowing, images develop a powerful form of reality. They can be deliberately created with the intent of creating a self-sustaining impact that may last for years. The presidency of John F. Kennedy provides a good example of this type of impact. His staff created an exciting image of him and his presidency using the metaphor of King Arthur's Camelot, selected photographs of him and his family, and Kennedy's own personal charm. The image was so compelling that it remains as his tangible representation. Yet, the reality of his presidency was very much in contrast to the image. He did very little domestically and had a mixed foreign policy record.^{xiv} Still, the image remains vivid.

Images of police are images that are powerful and compelling. They tend to stay with us for a long time. Current images continue to mold the public's appraisal of police professional standards. On August 29, 2000, the Los Angeles Times ran this headline: "Judge OKs Use of Racketeering Law in Rampart Suits."^{xv} United States District Court Judge William J. Rea, appointed by President Ronald Reagan, ruled that federal racketeering laws codified under the Racketeer Influenced and Corrupt Organizations statutes (R.I.C.O.) can be used to sue the Los Angeles Police Department. These suits may be brought by people who claim members of that Department's Rampart Division violated their civil rights. In order for the department to be sued under these statutes, it must meet a critical, judicial standard. It must be defined as "a criminal enterprise that affects interstate commerce and uses illegal means to further its ends."^{xvi}

By ruling that the Los Angeles Police Department may be sued under R.I.C.O. provisions, the court also enabled litigants to receive three times the amount of damages should

they prevail. The estimated damages from the scandal are in excess of 100 million dollars before the ruling^{xvii}.

Whether or not one agrees with the ruling allowing the use of R.I.C.O. statutes, the performance of one police department in one investigation into professional standards created an environment where a judge made a police agency the litigation equivalent of organized crime. Image is not everything, but equating a police agency with a criminal enterprise is a powerful indictment of an agency and a basis for this project. If strong enough, the image forms a de facto standard of performance.

This de facto standard of performance, whether intended or unintended, often replaces reality as the public's medium for judging the things that impact their lives. Police images drive such conclusions, with the image of the police performance serving as a substitute for an acceptable standard of police performance. A Professional Standards Unit, properly directed, staffed, and aligned, can proscribe the behaviors that limit effectiveness and efficiency. The Professional Standards Unit also acts to prescribe the changes or adaptations that the agency can make to improve service delivery and mitigate the impact of the occasional dysfunction that characterizes organizational life.

In the public view, a professional standard may be derived from repeated, tangible behavior, lending a sense of permanence and continuity. In short, the standard gains permanent value from the accumulated effects of the behavior. It is therefore reasonable and logical that the public would form such a conclusion. Aristotle once said, "We are what we repeatedly do. Excellence is not an act but a habit."^{xviii} So is poor performance. Peter Senge addressed standards of performance in his study of learning organizations, The Fifth Discipline: "Today,

the primary threat to our survival, both our organizations and our societies, comes not from sudden events, but from slow gradual processes.”^{xix}

The examples in this chapter may be considered merely an overview of worst case scenarios, but they have a synthesis and continuity that exposes a convergence of organizational culture and institutional neglect. A Professional Standards Unit, working at the direction of the chief executive, can be used to explore all dimensions of performance with a strategic goal of improving overall performance through comprehensive analysis.

Increasing the amount of supervisors, managers, and Internal Affairs investigators is an expensive way to improve performance. While necessary, they are control mechanisms. The issues that drive dysfunctional performance deserve an equal if not more comprehensive response as the control mechanisms. These issues continue to supply organizations with the raw material of dysfunction. Professional Standards Units are designed to identify these issues, describe the scope of their present and future impacts, and make recommendations for change. The present environment and future issues addressed in the next chapter will provide a foundation for reassessing the traditional approaches that police agencies have employed to discover bad performance instead of discovering ways of planning to avoid it.

CHAPTER TWO

FUTURE ISSUES AND FORECASTS

On October 6, 2000, a mixed group of professionals interested in improving police performance met at the Torrance Police Department to identify future trends and events that would impact the subject of this project: How should a Professional Standards Unit impact organizational performance by the year 2006? Eleven people attended. They were asked to participate based on their diverse backgrounds, independent thoughts about the police and the community, and recommendations from other professionals. This diversity generated insightful comments and perspectives that provided all participants added depth in examining the topic. A police commander and fellow Command College student assisted with the process. A list of their names may be found in Appendix A of this project. The participants included:

- Two Police Lieutenants with Graduate Degrees
- Assistant Finance Director
- Corporate Public Affairs Officer
- Senior Pastor
- Volunteer Coordinator
- Instructor - Criminal Justice Department
- Director - Center for Criminal Justice
- Director of the Juvenile Diversion Program and Marriage, Family and Child Counselor
- Counselor
- Personnel Analyst

A Nominal Group Technique (NGT) was employed to allow participants to bring to light as many dimensions of the topic as possible. Prior to beginning the session, participants were provided a background on Command College, the intent of the Command College project, and the guidelines for conducting and participating in a Nominal Group Technique. Participants identified trends and explained their perspective and the significance of the trend to the topic. This acted to create a dynamic effect as participants expressed that the brief analysis assisted them in forming their ideas. Twenty-seven trends were identified in the initial discussion. Through continued group analysis and exchange of ideas, the trends were rated for their significance to the others and a consensus was reached with the following ten trends seen as having the most significance for the topic:

Trends

1. Demand for external controls on the police department
2. Different expectations of police performance
3. Sensitivity to changing cultural diversity
4. Socio-economic changes
5. Privatization of law enforcement services
6. Private sector technology adopted by law enforcement
7. Re-classification of crimes
8. Law enforcement mergers
9. Law enforcement employee mobility
10. Competition for human resources among agencies

Participants were asked to compare these trends against one another and rate their relative impact on the issue questions and rate their relevance to each other with a numerical score. The ratings were placed on a graph relative to three dimensions: the trend’s level five years in the past, the level five years into the future, and the level ten years into the future. A baseline figure of 100 was used to represent present status of the trend in order to project the future levels. The following Summary Trend Table displays ten trends based on these dimensions:

Summary Trend Table

Trend	-5 years	Today	+ 5 years	+10 years	Concern
1	90	100	120	130	8
2	70	100	130	140	10
3	75	100	130	145	10
4	70	100	105	120	9
5	80	100	105	110	5
6	80	100	120	140	8
7	80	100	110	120	9
8	50	100	80	70	6
9	70	100	110	125	10
10	85	100	115	125	10

The column entitled “Concern” is listed to express the participant’s rating of that trend on a one to ten basis, with a rating of ten being most and a rating of one being least. The participants believed that those trends rated eight or higher were the most significant in their relation to the topic. During the course of the panel discussion it became clear that the majority of the trends displayed a relative degree of conformity in terms of their past, future, and projected importance. It may be reasonable to ask whether these are future issues if they conform to the present so closely. Panel members felt that this is a justified analysis and does not diminish the trend’s impact on the issue. The analysis and description of those ten trends follow:

1. Demand for external controls on the police department

Participants were unanimous in their appraisal that the future trend will be for public, representative boards to set or at least participate in setting standards of professional behavior. Already in place in some agencies, the panel believed that this trend should have strong impact on the topic question, acting to form a mandate for the unit's mission.

2. Expectations of police performance

Participants believed that the public would demand not only higher ethical behavior but will also demand that police pay a stiffer penalty for deviation from this norm. Participants also believed that the expectations of police managers to impact overall organizational improvement would develop.

3. Sensitivity to changing cultural diversity

Cultural diversity acts on local economies and governments. Participants felt that diversity creates new dynamics in terms of expectations of the police and the relationship the police will have with socially and culturally diverse communities. This will put added pressure on police organizations to measure effectiveness and develop new approaches to the idea of performance measurement.

4. Socio-economic changes

Stock market volatility may drive capital out of the country or foreign capital into the country, thus impacting the business climate. Participants believed that the police face difficult challenges in times of economic distress or uncertainty. The times often mitigate standards of behavior and act to modify the acceptability of otherwise sanctioned behavior.

5. Privatization of law enforcement services

Long a staple of many jurisdictions, privatized approaches to law enforcement will develop renewed strength as the costs of litigation, monetary and organizationally, are reviewed.

6. Private sector technology becomes standard for law enforcement

While police already are adept at using technology to their purposes, technology to support public control over police, measure performance, or replace existing structures may also be on the horizon. Examples: Mandatory, wearable voice recognition hardware that broadcasts/records all police/public dialogues to a central location; wearable cameras that broadcast and record; 24 hour public/police interface where officers take reports over the computer and conduct investigations in the same manner.

7. Victimless crimes are reclassified as non-criminal

The move to decriminalize minor drug offenses is an example. Police performance is often contingent on regular contact with the public, such as traffic enforcement and searches. Participants felt that police performance is directly impacted by what they seek to stop. Crowded court systems, overflowing prisons, and the war on drugs are manifestations of the definition problem. Subsequently, defining behavior as criminal creates host environment for misconduct or dysfunctional behavior.

8. Law enforcement mergers

Participants believed that the cost of litigation and the tension created by high profile cases will cause agencies to consider surrendering autonomy in favor of a merger that may limit exposure and pool declining resources. Efficiencies may result in savings to address performance issues.

9. Law enforcement, employee mobility

The new employee is more mobile. A healthy economy provides choices. Participants felt that increased wage and benefit parity among departments sets the stage for a bidding war for the good employee. Officers may move to avoid stringent standards or to find performance standards that are more stringent.

10. Competition for human resources

Participants identified an agency's economic base or specific missions a critical element in the ability to attract employees. Agencies with very strong economic bases may be able to attract more quality employees. Participants believed that such agencies could underwrite employee misconduct.

Events

After the nominal group finished with trend discussion and analysis, participants were provided a description of the guidelines employed to conduct a similar exercise relating to events that may impact the topic question. The group identified over 20 events likely to occur in the next ten years. From those twenty events, the nominal group believed that the following 13 events were considered the most significant in their impact on the topic question:

1. Chief of Police becomes an elected position
2. Federal law requires that officers pay punitive damages
3. Mandatory binding arbitration is passed for damage cases
4. POST requires all officers to possess a Bachelor's Degree
5. Law enables citizens to openly carry firearms
6. Officers are required by law to live in the jurisdiction in which they work

7. State law requires a police/citizen review board
8. Televised event of excessive force featuring a prominent citizen as a victim
9. Possession of marijuana for personal use is decriminalized
10. All local police are brought under federal control
11. Global economic recession
12. Publicized abuse of technology to invade the privacy of a prominent citizen
13. Borders with Canada and Mexico are opened

The nominal group was asked to assign numerical values to these events in order to portray the events in relation to one another and their impact on the topic question. The Summary Event Table that follows charts these events along five dimensions. The first column identifies the time, within five years, that the participants believed that event could occur. The second column identifies the estimated likelihood, expressed in a percentage, that the event would occur over five years from today, but less than ten years. The third column identifies the likelihood, again expressed in percentages, that the event would occur over ten years from today. The fourth column expresses whether the nominal group believed that the event would have positive or negative effect on the topic question. The fifth and last column represents the concern, noted in a rating of one to ten, the nominal group expressed regarding the event happening. Lack of a rating indicates that the panel did not think this event would have any impact. A review of the events indicated that events seven and 11 were sufficiently close to constitute one event and were combined into event ten.

Summary Event Table

Event	> 0	5+ years	10+ years	+ or -	Level of Concern
1	5	20%	30%	+ or -	2
2	5	30%	50%	+ or -	8
3	1	90%	90%	+ or -	10
4	5	10%	10%	+ or -	8
5	5	20%	20%	-	9
6	5	5%	5%	-	9
7	4	25%	40%	-	5
8	3	40%	60%	+	9
9	2	50%	75%	-	9
10	3	50%	50%	+ or -	8
11	4	20%	40%	-	10
12	3	25%	40%	+ or -	9
13	2	75%	100%	-	10

Events

1. Chief of Police becomes an elected position

State law makes it mandatory for municipalities to hold elections every five years for Chief of Police. If the Chief had to face re-election and please an electorate and not a City Manager, his or her behavior or the direction he or she gives the agency may change.

2. Federal law mandates that employees pay punitive damages

Federal law makes it illegal for municipalities to underwrite poor performance and mandates employees, and their supervision, as the case may be, pay punitive damages. This could be a positive or a negative value. It may hold officers to a higher standard or it may drive good people out of the industry and lower a curtain of mediocrity on the profession.

3. Mandatory binding arbitration in damage cases

Law is passed that mandates binding arbitration of damage awards to the public. Together with event two, this could have both positive and negative effects on the issue. Current and future employees may feel that the fiscal risks involved in the profession may far outweigh the benefits. The panel thought this was most likely to occur.

4. POST requires all officers possess a Bachelor's Degree

Studies indicate that misconduct is related to education levels. POST recognizes this fact and in an effort to mitigate conduct issues and increase professionalism, devises this requirement. The panel looked at it as both positive and negative. It could bring desired results but would definitely impact the recruiting pool. While deemed least likely to occur, it is consistent with data supporting improved performance. It is a political issue, not an empirical issue.

5. Law makes it legal for citizens to carry firearms on their person

Very negative consequences with increased confrontation and decreased police intervention for fear of starting a fire-fight. The panel perceived a negative impact on recruiting officers who now would face an armed public on a daily basis.

6. Officer residency requirement

All officers are mandated to live within their jurisdictions. The panel thought that if this were to occur, it would drive away potential candidates even though it is consistent with community oriented policing philosophy. The panel thought this had a small probability.

7. State law requires police/citizen review board

All agencies must develop a local review board that meets to review discipline and the complaints. Depending on the jurisdiction, this may have a chilling effect on hiring and proactive work. A history of bitter citizen/police contacts will drive away potential officers.

8. Excessive force televised event with prominent citizen

A prominent citizen is the object of excessive police force. It is captured live and transmitted to the public. Advances in technology and the media's access to police data make this a strong event.

9. Possession of marijuana for personal use is decriminalized

Possession of marijuana considered personal is decriminalized. Those people in possession are subject to community service and a fine. The war on drugs is compromised and drug dealers and users feel less need to evade the police, becoming more open in their behavior. This may mitigate force issues and civil rights lawsuits.

10. Local police brought under federal control

In an effort to standardize hiring and discipline practices, federal guidelines are applied to all local police. While it may have the effect of elevating practices in some areas, it compromises local law enforcement's ability to deal with local issues. One size does not fit all.

11. Global economic crisis

A significant global crisis in the energy or food production industry causes local riots and social unrest, placing many out of work and putting more demands on already thin police resources.

12. Publicized abuse of technology invades the privacy of prominent citizen

In an effort to obtain intelligence information on the possible illegal activities of friends of a prominent citizen, local police violate federal provisions on the 1st Amendment and are caught. The panel thought that this might provoke legislation limiting the ability of the police to conduct surveillance and gather information.

13. Borders with Canada and Mexico are opened

An open border arrangement is made with both countries, allowing unlimited access. No more vehicle searches or border checkpoints are needed. This would put added pressure on law enforcement while economic advances may be a side effect. As the summary event table indicates, the panel thought this was the only event likely to have a 100% likelihood of occurrence within the next ten years. The impact of globalization, shared borders, and favored nation trading agreements will make the present borders anachronistic and artificial.

Analysis of Cross Impact/Key Aspects

After completing the trend and event analysis, the panel was asked to view both elements in relation to one another through a cross impact analysis. The cross impact analysis asks the panel to evaluate the impact of each event on each trend using a scale of negative five to positive five as the parameters. For example, a rating of positive five indicates that the panel thought the event would have the maximum positive impact on the trend. Conversely, a negative five rating indicates the event would have the maximum negative impact. The Cross Impact Analysis Chart shows several blank spaces indicating the panel's feeling that the event would not impact the trend in any significant way, although there was discussion on it.

The panel thought that several key events would have significant impacts. Event six, officer residency requirements, would have high positive impact on demands for local control of police discipline and higher expectations of police performance (trends one through four). The panel members, especially those involved in the counseling process, thought that the close proximity of department members would be very positive. On the downside, other members were doubtful that anyone would opt to live in an impoverished neighborhood.

The publicized media event of a use of force, such as Rodney King, against a prominent citizen also elicited a great deal of discussion and a strong consensus on the impact of such an event. Little discussion was given to the repercussions for unrest but all members thought it would strengthen trends one through four as well.

Another significant aspect was the federalization of police forces and the expectation of higher service and professionalism, coupled with mergers and mobility. The group felt that federal standards, while designed to intervene in cases of past and pattern and practice cases,

would be a step down for local law enforcement. The group discussion centered on issues pertaining to one size fits all approaches, federal mediocrity, and bloated bureaucracy. This is not a good advertisement for the government but it appears to be the light in which the group sees government. The following chart represents the results of that cross impact analysis:

Cross Impact Table

	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
E1	+5	+5	+4	+2	-3	+2		-5	+3	+2
E2	+5	+5	+5	+4	+2	+2	+4	+4	+4	+4
E3	+1				+4			+3	+5	+4
E4	+3	+4	+4	+3	-5+	+5	+3	+3	+5	+5
E5	-5	+5	+5	+5	-5	+5	+4	+4		-4
E6	+5	+5	+5	+5	-2	-2		+3	+5	+5
E7	+5	+5	+5	+5		+4		+ -	+5	+4
E8	+5	+5	+5	+5		+3	+4		+5	+5
E9		+2	-1	+4		+2	+5		+5	+4
E10	-5	-5	-5	-2	-3	-2	+5	+5	+5	+5
E11	+4	+4	+3	+4	+5	+2	+5	+5	+5	+5
E12	+3	+3	+5	+5		+1	+5	+4	+5	+5
E13	+5	+5	+5	+2	+2	+5	+5			

Three Scenarios of the Future

The information generated from the Nominal Group Technique can be used to develop alternate futures. Scenario development is a commonly accepted means of bringing disparate events and trends into alignment through a story. The events and trends in this research project probe the outer edges of the existing environment but do not distort it. As the scenarios indicate, change often takes place on the margins, not in the center of the issue. These scenarios look at the dynamic interchange that occurs within the impacts of technology, politics, and industry practice. Three scenarios were developed incorporating the elements of the Nominal Group Technique and their impact on police performance:

Pessimistic Scenario: Television Broadcast

Announcer: Breaking news ladies and gentlemen: What you are about to see may disgust and anger you, but in the interests of community well being we show you this video. This is a tape-delayed broadcast of video shot live ten minutes ago. The only delay has been to show station management the tape so that they would be aware of the ramifications of this broadcast. Our local television reporters, using the latest in live-cam feeds to not only network television but multi-national web sites, caught the Metropolis PD in an embarrassing and potentially far reaching use of force against Congressman Willard Smelk. Apparently, Congressman Smelk, who has led a long and difficult fight in Congress to rein in metropolitan police abuses and institute civilian police oversight boards, was stopped as a potential robbery suspect in the 1200 block of Beatum Street. He suffered a broken arm and a concussion as a result of what you are about to see.

The officers, unaware of Congressman Smelk's identity, pulled him from the car at gunpoint, grabbed him by the throat, and threw him to the ground. The roaming news crew, who was following the beat car due to publicly shared information on police misconduct and the lack of perceived controls within the department, used laser seeking audio and video equipment to capture police using abusive, race based language and excessive, unwarranted force on the Congressman. Congressman Smelk was heard asking for the names of the officers, who were observed via the long distance cameras to remove their identification. He was also heard requesting a police supervisor to the scene at which time an unnamed officer kicked him in the head and dropped his knee on the Congressman's back. Roll the tape please. Tape plays.

We will follow this story closely and bring you any related updates as they occur. This of course comes on the heels of recent lawsuits and a series of claims against the Metropolis Police Department for excessive force and civil rights violations.

Optimistic Scenario: December, 2001 article in the Los Angeles Times

“POST/DOJ study indicates an increased interest in police work as a profession with little significant recruiting impact and a decline in misconduct complaints since the mandatory college degree rule went into effect five years ago.”

In the first study conducted on the controversial College Degree rule, results clearly indicate that the impacts have been favorable and that the rule has succeeded in improving the image of California policing in the eyes of the public. Since the tumultuous events of the 1990s, pressure had been rising on police departments to improve the quality of their service and their officers. Suggesting that policing is a profession and not a craft or vocation, POST, with the support of major professional groups such a California Peace Officers Association, The League

of California Cities, and the Police Executive Research Forum, passed an educational requirement. That requirement mandates that all sworn officers either possess a Bachelor's Degree upon hiring or have one by the time they receive their basic POST Certificate.

Under a grant issued by the National Institute of Justice, POST and DOJ conducted extensive investigation and analysis of the impact of this landmark decision in departments across California. Despite initial skepticism by many within the police community, the results have been startling. In recruiting, the one category described by opponents of the decision as “discriminatory in every way you can be,” the results show that minority applicants are applying at least at the same rate as they did prior to the decision. In some of the larger urban departments, minority applicants are applying in significantly higher rates. The study quotes one minority officer as stating, “I wanted to combine community service with my sociology degree. Minority communities need well-rounded cops. They deserve the best too. This is a big step in the right direction.” In the area of misconduct complaints, the statewide numbers declined by 22 per cent with departments over 100 officers experiencing a decline of 31 per cent.

Police chiefs and sheriffs, initially the strongest opponents of the decision, have hailed the study as a landmark in policing. Chief Saul Greenberg, President of the California Police Chief's Association stated, “I am surprised by the results, but pleasantly so. This will benefit the officers, who will get more respect from the public for their efforts and it will benefit the public, who should get better service from qualified professionals. It's a win/win as far as the California Chiefs are concerned.” This study is also receiving coverage in other states, which will use the results to push for higher standards in their departments. While they may not seek the Bachelor's Degree standard, other states have recognized that requiring higher educational thresholds is a factor in police performance and community confidence.”

Normative Scenario: Headline in the Daily Planet: “Metropolis absorbs Podunk PD. No major impacts expected.”

In a move that surprised no one in either city, the Metropolis and Podunk Police Departments announced a merger; with the City of Podunk no longer having their own police department. Citing the high capital and legal costs of maintaining their own police department, the Podunk City Council stated that they had little alternative but to merge with another department rather than the sheriff’s department for several reasons. Councilwoman Bee Jones stated, “Metropolis knows our city since they border us. We regularly train with their officers. They have a well-run department that can provide the opportunities and direction our officers need. We are sorry to lose control of our department and I know that the officers are angry about it, but what can we do? Lawsuits have hurt us and the small tax base we have does not allow for very much margin of error. You can’t do police work that way. Our officers were very clear about not wanting to work for the sheriff’s department and spend years working custody.” Certainly, recent court cases and the changing economic landscape have placed many long-time police departments in the position of asking the hard question: Should we continue or merge like many organizations in the private sector? This is not an easy decision for any department, but one that will be more commonplace as the pressure mounts on police to provide services in the face of new challenges.

Scenarios look at the area where the present and the future meet. They offer an agency a pathway that will assist in developing a strategic response to the issue of police performance and the means to impact that performance through a Professional Standards Unit. What were once

considered articles of faith have been called into question. Police perjury, unequal treatment of citizens, ongoing organized criminal behavior, and unprovoked violence have become, fairly or not, anticipated police behaviors. Scandals and lawsuits are the predictable outcomes of the insular approach that has defined law enforcement in the eyes of the public. Properly trained and staffed Professional Standards Units offer an agency the ability to step outside the traditional environment, measure performance against real standards, and make strategic plans to improve, even if those plans disrupt the traditional organization. These three scenarios explore common thematic material. They are compelling because the speed of poor performance always outpaces the organization's ability to correct it. The organization is forced into a reactive hunt for those responsible for the outrageous behavior. It is infrequent that the hunt leads back to the culture of the organization and the processes that assisted the behavior. The next chapter explores strategic planning and the opportunities available for implementing a Professional Standards Unit.

CHAPTER III

STRATEGIC PLANNING

Introduction

The futures scenarios derived for this project from the trends and events forecast in the NGT process are designed to function as visions of possible futures. Scenario development is an important function of strategic planning. It can, by the compelling nature of the stories it generates, project data into reality. Scenario development can be justly criticized if it veers toward the improbable by interjecting quantum changes in technology or traditional social structures. Both of these facets of change are most often subject to periods of incubation, evolution, and transition. Scenarios lose their power to inspire when they are bent out shape.

The scenarios in Chapter Two depict a near future employing the ways, means, and language of the current environment. The ubiquitous presence of technology and its ability to make police performance part of our daily conversation is well chronicled. The continuing debate regarding the nexus of education and police performance and the fiscal burden that litigation places on agencies with static or declining tax bases are not exotic projections of a distant future but variations of the now.

The unfortunate outcomes experienced by an organization like the Los Angeles Police Department because of the Rampart Division investigation, if written as scenarios 15 years ago, might have been seen as offensive and unrealistic. Yet, that department's own audit reveals that the groundwork for those outcomes was readily visible if there had been a culture willing to address it. The outcomes of that audit are more damaging because genuine internal auditing could have provided data, insight, and recommendations regarding the organization's

performance. A Professional Standards Unit is engaged in constant activism, questioning of the organization and its core strategies.

Like the Ghost of Christmas Future in Charles Dickens A Christmas Carol, the scenarios get our attention precisely because they are projections of our present behavior. In that story, Ebenezer Scrooge is motivated to act precisely because he sees the future he is making in the form of a scenario and realizes that he has the present capacity to change it. Police organizations have at least the same advantage as Scrooge.^{xx}

The Professional Standards Unit is designed to move away from the pessimistic scenario offered in this project, in which the media captures police misconduct live and transmits it to the public. Through such a unit, the agency can identify core values, establish performance standards that reflect those values, and audit those elements. Two current examples serve to illustrate the point. The Pittsburgh, Pa. Police Department is under a consent decree directed by the federal government to address a number of issues.^{xxi} Among those issues were no evaluations for sworn personnel and no viable complaint procedure. In a use of force scenario, both of these elements, prior standards of work and complaint history, are measurable characteristics that can be addressed to mitigate or eliminate the performance. In the second example, officers at Rampart Division of the Los Angeles Police Department had engineered their own culture, dubbed the Rampart Way or Rampart Pride,^{xxii} which included deviant manifestations of department policy and procedure. These sub-cultural approaches were out in the open and well known to supervision. The elements in this sub-culture were identified as catalysts to the scandal.

Professional Standards Units need the mandate to explore not only the status of current service delivery and performance but also the more subtle elements of workplace design,

environment, and structure that drive that performance. This mandate is required not just to prevent scandal, but to breed a culture where constant examination and measurement becomes the normative expectation and not something the agency does when they think they're in trouble. Often misapplied as a euphemism for Internal Affairs, Professional Standards Units are not intended to be mere internal critics or units to catch employees behaving badly. Nor are they mere audit and inspection units designed to see that equipment is handled according to policy. The unit can certainly do those things, but those things are more appropriately the day-to-day responsibility of line supervision. Professional Standards Units should shape performance and identify those domains that are incongruent with agency and industry standards, can be improved or changed to meet new organizational challenges, or just don't exist within the current organizational structure but need to exist. The Professional Standards Unit, outside of its specific work, produces other desirable outcomes:

- Establishes continuous review of performance as an agency value
- Incorporates non-police procedures and practices into the agency culture by utilizing a "best practices" approach to improvement
- Trains agency personnel in audit procedure and intent, thus enabling other units within the agency to approach their work in a more comprehensive manner
- Explores contemporary themes and behaviors within the industry to assist with strategic planning
- Measures current performance against agency and industry standards
- Identifies potential "snaildarters" so that implementation of key programs and objectives may be done more effectively
- Provides direction to staff on critical mass issues to facilitate positive outcomes or preclude negative incidents
- Builds trust and credibility with external stakeholders by exhibiting agency awareness for the need to measure performance and the larger public's right to expect it.

The Professional Standards Unit is used to breed internal discipline by measuring agency performance against standards and assisting in establishing new standards if necessary. It is also the means by which the agency validates its level of management competence by comparing

itself against best practices and using the comparison to improve services and operations. This aspect could pose conflicts for some agencies. Police agencies often see their work as singular and apart from the demands and critiques of the private sector. In their book, The Character of the Corporation, Goffee and Jones profile four types of corporate cultures and their attributes. Among those types, the culture that has excessive solidarity and is negatively communal seems to define elements in the current state of police culture:

Neglect the competition and educate the customer.... Its products are so good that the company is unassailable. No company can beat them, so why bother looking for customers? And customers that don't like the product are in a word, wrong. The product shouldn't change, goes the thinking, the customer must be educated.

In other words, a certain kind of communality can spawn smugness and often complacency.... Widely accepted notions about the competitive environment or the "right" way to do things get ossified.^{xxiii}

If that quotation strikes home or at least raises awareness, implementing a Professional Standards Unit would be a natural and cost effective means of addressing these facets of institutional character and culture. Strategic planning helps the organization explore the dimensions of its character, culture, and performance standards in order to implement a Professional Standards Unit. The following sections will delineate a model for examining the state of the organization, those who are involved or will be affected by the unit, alternative strategies for making it work, and how the agency might know that it is working well.

Strategic planning is a technique designed to improve the quality of organizational performance by anticipating the issues that will impact the organization. No organization operates in a vacuum or in a status quo atmosphere. The dynamics of change may ebb and flow, but they are always present. Organizations that anticipate future issues and plan for them have a better chance of managing tough times but also for avoiding them.

Policing is changing. Not just from the high profile scandals that have plagued the profession in the last few years, but because the society police serve is changing. By examining the internal and external influences affecting the organization, alternative means for meeting the future can be developed to optimize a desired future and minimize an undesirable one. Utilizing anticipated trends and events that may affect organizational health and service delivery permits managers to make more reasoned judgements about that future.

The plan to implement a Professional Standards Unit will use the pessimistic scenario as a point of departure in creating and guiding a Professional Standards Unit that has a high likelihood of implementation and success. This strategic plan can act as a schematic for agencies that wish to engage in effective prevention strategies and improve overall organizational performance.

Assessing the Organization

One of the hardest things for any organization to do is gauge the level of its own performance. There is ample literature on the police mindset when it comes to outside input and evaluation. For those reasons and many others, implementing a Professional Standards Unit and measuring the impacts presents a challenge. In order to develop such a unit, it is necessary to gauge the existing characteristics of the organization. Like any journey, you need a starting point and a destination in order to prepare. In this project, the strengths and weaknesses of the organization and their impact need to be identified, as well as collateral opportunities for the agency, and the threats that may engender negative outcomes. A “WOTS UP” (Weaknesses, Opportunities, Threats, Strength Underlying Planning) analysis model was employed to surface these elements. Several attributes relevant to implementation have been identified based on a

literature search and the author's experience administering such a unit in a mid-size agency (250 sworn personnel) and conducting audits for the last three years.

Weaknesses

- Many officers associate Professional Standards with Internal Affairs and may be reluctant to provide input, thinking it will result in discipline or negative consequences of some sort
- Many agencies are built on seniority, which may clash with attempts to change organizational processes
- Some agencies may not have qualified personnel to fill the role of administrator
- City management may not support the agency having an internal auditor, believing that objectivity would always be a question
- Many agencies feel that police work is about catching the bad guys and that the future will be just like the past
- Many agencies feel that they have no competition and that quality is whatever the market will bear.

Opportunities

- Agencies that identify and correct problems do not have someone else do it for them
- Respect for the agency is enhanced by professional behavior
- Agency performance is improved by an atmosphere of excellence and achievement
- The agency saves money by making processes more efficient and effective
- The agency's stature among fellow professionals is refined by visible changes in the behavior of the organization
- Less personnel complaints are initiated because vital policies, processes, and performance issues are analyzed using past, present, and future issues
- A culture of improvement is bred
- Moral is improved because management is viewed as trying to prevent problems rather than catching officers making mistakes.

Threats

- The agency may have personnel problems and cannot staff the position
- A poor understanding of the intent of the unit may cause a lack of support
- Managers may feel that an independent audit function is an encroachment on their right to run their unit
- Professional Standards Unit personnel may become the focal point of an audit and not the topic
- No or limited implementation of the unit's recommendations may undermine the unit's credibility and hence, its effectiveness
- The agency may want to "count the hits and ignore the misses" to generate support for other programs. Any bad news is bad for everything

- The fear of exposing an agency's poor performance may inhibit implementation

Strengths

- Officers generally want to be recognized for working in a good organization
- Most officers are embarrassed when their organization is embarrassed
- The agency wants respect from all of their stakeholders
- Most officers recognize that improved performance often means improved benefits
- City management and Council want improved performance
- There are classes available to learn the elements required to conduct audits

Stakeholder Analysis

Any strategic plan must acknowledge those people or groups who will have an impact on the development of such a plan. The agency must engage in a dialogue that permits the full expression of doubts, fears, questions, and other inputs that affected parties may have. Typically referred to as stakeholders, these concerned parties will affect the implementation and success of the plan. Logically, identifying stakeholders, their perspectives, and the organization's response, is a fundamental part of a strategic plan. The following groups may have an impact on the implementation and success of a Professional Standards Unit:

Community Members

This includes individuals, businesses, and members of city government. They receive the service of the agency and are impacted by its reputation. They are politically active and can have a significant influence on policy direction.

- The community wants to have the best police department they can afford
- The community's self-image is often contingent on the performance of its police department
- The community expects that it is getting the best at all levels of the department
- The community often does not know enough about police performance and needs to be educated
- Poor performance can inhibit business investment and thus impact the quality of life
- Groups within the community have the resources to put pressure on City Council to mandate policy

Department Managers and Supervisors

Their work areas and responsibilities are often the focus of internal audits. As such, they are charged with meeting department standards and improving their operations. They also must implement recommendations that result from the audit.

- May feel that they are being picked on by a Professional Standards Unit
- Must cooperate and support it if it is to be effective
- May not be trained to deal with issues generated by the audit
- Likely to be defensive about their work areas and their way of doing things
- Could become angry if the audit identifies weak or deviant performance

Chief of Police

Directs the department and is ultimately responsible for department performance.

- Sets the standard of performance the department should meet
- Will be named in any law suits alleging misconduct
- Can be removed by the City Administrator or City Council
- Wants a professional organization that reflects well on the Office of Chief of Police
- Realizes that better performance is expected by political forces within the city
- Knows that police performance often defines a city's image for the public

Police Officer's Union

This group bargains for wages and benefits. Has a legal right to be heard on changes pertaining to wages, hours, and working conditions.

- Would be opposed to changes that impact benefits to employees
- Wants all changes to produce something for members of the union
- Would be concerned if audits revealed management behavior that required discipline and discipline was not taken
- Has a vested interest in being part of an excellent organization
- Realizes that auditing may keep members out of trouble by producing environmental changes
- Is politically adept at lobbying for things they want or can support

City Council

Makes policy for the city. Very interested in any issues relating to police performance.

- Members of City Council take pride in the accomplishments of the police department
- Recruiting quality personnel to the police department is contingent on its reputation
- Council recognizes that internal auditing can save money
- Will not budget extras if basics are not being accomplished
- Wants their department to engage in best practices at all levels
- Are impacted by lobbying from the police union and other groups

- Have a vested interest in attracting businesses to a well policed city

City Manager

Responds to direction of Council. Manages city resources and supervises city department heads.

- Wants the police department to be efficient and effective
- Realizes that the department's reputation is a reflection on his/her management
- Does not want negative publicity about any aspect of police performance
- Wants a Professional Standards Unit to produce results
- Has a major impact on department funding

Commission on Peace Officer Standards and Training (POST)

Sets standards of police training within the State of California. Funds many law enforcement related classes and acts a resource to departments within the state and the country.

- Is always interested in what agencies are doing to improve
- Acts as an important training resource among agencies
- Requests and certifies classes that assist law enforcement in improving performance
- Funds research fellowships into areas deemed important by the POST Commission
- Has influence in the political arena
- Can direct mandatory training to all California agencies

Other Police Agencies

While independent, they look for performance among peer agencies to help them improve and are concerned about issues that may impact them. They also respond to POST mandates.

- May be asked to cooperate with another agency's audit
- Could view such a unit as an outside threat, driving higher expectations of them by their Council and management
- Want to be professional and respected
- Have a past history of adapting programs from other departments for their use
- Want to avoid the costs of poor quality performance
- Want to look good in the eyes of their public too

The Court System

The court frequently hears cases that involve police performance and makes case law that binds police agencies to future thresholds of performance.

- Decides cases that expose standards of agency performance
- Holds agencies liable for negligent management and supervision
- Mandates consent decrees that bind agencies to certain behaviors
- Are aware of and respond to good faith efforts to manage police behavior

- Has a stake in positive relations with law enforcement
- Often are critical to the fundamental goals of the police, i.e., search warrants, bail deviations, and police training, to name a few

Police Damage Lawyers

Represent those who are victims of police abuse. They often expose police practices related to their clients by discovery motions.

- They put pressure on police to perform to higher standards
- Count on police failures for their living
- Are often politically well connected and can exert influence on policy
- Are knowledgeable about police practices
- Would support efforts to improve the performance of the police
- Could prove a valuable ally in pushing POST involvement in statewide auditing classes

Media

They are the medium through which much of the public learns about the police. How they present police issues influences the public's perception of the police.

- They can be used for positive public relations
- They will not ignore bad performance
- Wants to be viewed as supporting positive developments in policing as opposed to just reporting the bad things
- Are politically well connected and can influence policy at a national and statewide level
- They pay experts who understand policing and who can report on it

Strategy Alternatives

The Nominal Group Technique and the Cross-Impact Analysis highlighted the impact of trends and events that could play a role in implementing a Professional Standards Unit. From those processes, two strategies were developed pertinent to an agency implementing a Professional Standards Unit. These strategies represent two different approaches in making this unit part of the agency's institutional character.

Strategy One

The agency implements a Professional Standards Unit as a formal part of the organization. A management level employee is designated as the agency Audit Manager, reports directly to the Chief of Police, and is trained to conduct the type of audits that may impact organizational performance. This manager may have other duties as assigned by the Chief of Police, but internal auditing is this manager's prime responsibility. Issues highlighted in the pessimistic scenario may include tracking abuse, technology awareness, and political sensitivity. These issues are the raw material of the Professional Standards Unit.

When the Audit Manager is directed to do an audit, an ad hoc Audit Team composed of agency members is formed for the duration of the audit. The Audit Team is selected for their specific abilities relative to the audit topic. The Audit Manager is tasked with training the Audit Team, developing the scope of the audit with the agency head, making audit assignments, making periodic updates on relevant issues to the agency head, setting deadlines, and writing the audit report and recommendations. Audits are conducted under the two broad categories that follow. The strengths and weaknesses of Strategy One are also noted:

- Special audits: These audits are done in response to an agency, threshold behavior, or to preclude more serious problems when performance problems indicate that bigger issues are pending. Issues in the pessimistic scenario may lead to a special audit.
- General audits: These audits are usually conducted according to an agency audit schedule that attempts to measure elements of every work group's performance on a regular basis.

Strengths

- Formalizes agency intent with regard to improving performance
- Trains other department members in the audit process
- Educates the agency on other agencies and their performance
- Corrects existing issues to prevent a decline in performance
- By reporting directly to the Chief, the unit is independent
- Generates respect for the agency by showing a willingness to spend budget funds for preventative approaches to improvement
- Provides full time management resource to other agency managers
- Increases agency professionalism in the eyes of city government and the public

Weaknesses

- High cost to implement. Unless taken from existing staff, it is a newly budgeted position
- Can place the Audit Manager in a difficult position relative to peers and superiors by giving him/her additional power and authority
- The Audit Manager often becomes the focus of the audit
- Positional burnout is increased if the agency has a series of special audits
- The unit may not be taken seriously if an Audit Manager with low credibility is selected or if Audit Team members with low credibility are selected
- Raises expectations of agency performance and places pressure on the agency to implement recommendations

Strategy Two

A Professional Standards Unit is implemented but is designated as a collateral assignment of the Internal Affairs function. The manager assigned to that unit is designated as the Audit Manager as a collateral duty and reports through the traditional chain of command to his/her superior. Audits are conducted when time permits, with the Audit Manager having the responsibility to train an Audit Team and manage the scope of the audit. Audits are the by-product of Internal Affairs investigations and are designed to solve problems as they arise. In much the same way that a SWAT team only responds when specific elements are present, this strategy focuses on the so-called “big ticket” items that are causing existing problems. General audits are encouraged as time permits.

Strengths

- Low start up costs. The position exists so training is the only real up front cost
- The agency can focus on immediate, large problems
- Some research is available through the Internal Affairs investigation
- By going through the chain of command, independence that may cause conflict is mitigated
- Audit topics are identified through the Internal Affairs process making criticism of the topic difficult for agency members
- Professional Standards and Internal Affairs are related themes and a logical nexus
- Lower stress and burnout for the Audit Manager since topics are based on misconduct issues

Weaknesses

- Immediate problem solving is short term and may obscure the analysis of process and structure that may cause the problem to reappear
- Research by Internal Affairs may be incomplete or limited to the task at hand
- Internal auditing requires independence to build credibility
- It is easy to get distracted by other job requirements making auditing the administrative equivalent to a SWAT callout
- Not all issues of organizational importance are congruent with Internal Affairs investigations
- If associated with Internal Affairs, it is easier for organizational members to view Professional Standard's mission as punishment
- Improving organizational performance could be viewed as only a reactive behavior. The message then is: We do it when we get in trouble

Selecting the Strategy

Each of these alternatives has one thing in common: the agency does implement a Professional Standards Unit. Strategy One treats Professional Standards and organizational auditing as a fundamental agency function and presupposes that the agency can fund the unit. Although initial costs may be higher, they are offset by the long-term benefits associated with the unit. In much the same way that all agencies subscribe to basic tactical considerations when handling calls for service, Professional Standards is institutionalized and made part of the daily experience. Over time, agency employees would observe the Professional Standards Unit in progress, agency members would serve as members of the Audit Team, and agency functions

would be subject to relatively the same consistent scheme of measurement, comparison, and analysis. Recommendations made by various incarnations of the Audit Team would shape the character and performance of the agency.

Strategy Two may be a better fit for some agencies whose mission and day-to-day work can be more easily adjusted by line supervision and management. Start up costs and training may be prohibitive. A permanent unit may not be justified based on the nature of the agency's work.

For at least mid-size and larger (150 plus) agencies, the organization would show the best results adopting Strategy One. The public is much more aware of police performance standards. They expect their agency to maximize performance and avoid issues that plague other departments. Adopting a Professional Standards Unit as part of the agency's service to the community is consistent with other traditional, preventative processes that have found a home in policing. Drug Abuse Resistance Education (D.A.R.E.) and Gang Resistance Education and Training (G.R.E.A.T.) are two visible attempts to influence the outside environment and make safer communities. A Professional Standards Unit is dedicated to the inside environment and acts to educate for prevention in the same manner.

Agency members become aware that process and structure are often the hidden factors in poor performance but are also more easily adjusted ways to affect performance. This alternative also provides the opportunity to do general audits so that the unit is not viewed as a "break glass in case of war" tool. If the unit is seen as a special tool and its mission is not part of the daily conversation within the department, it is easier to look at auditing and performance measurement as a reactive behavior only.

With Strategy One, agency employees are acculturated to an independent overview of department performance and the relationship between best practices in many diverse fields. This works to build an understanding between agency members and the private sector.

Once a Professional Standards Unit becomes part of the agency's culture and tangible, positive results come from the recommendations, the agency will be viewed by the public as confident enough to examine assumptions about performance and make changes that result in better outcomes for all stakeholders. This should result in elevated levels of analysis during management meetings and an increased willingness on the part of the department to examine the mission of the department and how to best reach it.

It should also provide a level of insulation for the department and the city when faced with lawsuits and claims relating to performance standards. Managers and supervisors will be exposed to the elements of an audit as the audits are published and discussed. As a result, they should adopt some of the methods to measure performance within their work groups. A Professional Standards Unit will focus the department on improvement as a necessity and not an option. Instead of avoiding outside criticism, the agency will order its own and make constructive examination of performance the agency norm. Without adopting a Professional Standards Unit and engaging in an internal analysis of the processes that drive poor performance, police agencies will repeat the cycle of dysfunction that has marked the profession. While no process is fool proof, the major threshold events that have come to define policing for many members of the public could have and should have been prevented or mitigated by the agency.

Chapter IV

IMPLEMENTATION PLAN

A Professional Standards Unit will be a strategic and cultural departure for most agencies. The idea of inspections isn't an alien one. It has been part of the fabric of policing for many years. The general theme of auditing, where actual performance is contrasted with the stated rules, policies, or procedures of an agency, is also a day-to-day function found in report reviews, Internal Affairs investigations, and court room testimony. Each of these performance elements can provide the agency with a barometer of how well they are meeting current assumptions about performance.

But even if an agency were effectively measuring these elements and making needed adjustments, it would not be enough to contend with the future. These elements take the temperature more often on what has happened in the traditional spheres, not what needs to happen. The strategic plan developed in Chapter III is about aggressively meeting the future. To do so requires that the agency foresee potential obstacles and areas of support that need to be exploited. Some of those areas follow:

Stakeholders, Supporters, Snaildarters

Implementation of a Professional Standards Unit based on Strategy One is not the most problematic aspect of the strategy. Funding the position and assigning the Audit Manager are the key ingredients. A formalized, internal auditing program designed to address all aspects of organizational performance through a best in class approach to standards is a very positive, assertive move to keep the agency moving toward excellence. It is a hard program with which to argue given the threshold scandals that surfaced in policing within the last ten years. The

toughest obstacles facing implementation are the cooperation and give and take required from involved parties. The agency must identify snaildarters before the implementation process. Snaildarters are those people or groups who may surprise the agency with opposition. They may support the program initially but may suddenly also oppose the program, cause delays, or make the environment so caustic that the disease may be preferable to the cure. It is necessary to prepare for possible opposition that may derail the implementation plan. Possible candidates for that position follow:

Internal Managers

Although there may be initial reasoning to suggest that this group would be sympathetic to the Professional Standards Unit, it is equally as reasonable to suggest that they would be snaildarters in the process. The work of the Professional Standards Unit is designed to measure performance and make recommendations to either improve existing performance or preclude future poor performance. Managers own the process in the work environment and are responsible for the performance that flows from it.

Professional Standards Units can make managers look good by making recommendations to improve existing processes but they also must comment on the quality of the work being done. The professional literature and the author's experience show that this can make for an adversarial environment and impact cooperation and implementation of recommendations. The Chief of Police must do the groundwork before implementation through an explanation of the intent of the unit and the long-term benefits that can arise in terms of complaints, budget savings, and productivity. Individual managers must support the unit and work with the Audit Manager.

City Manager and Council

They are critical to the implementation and success of the unit. Both of these entities desire a professional, well-managed agency that gets in the newspaper for the good things and does not engage in activity that embarrasses the jurisdiction or the industry. They must be persuaded that the unit will make the agency more professional, more effective, and that it will save the city money. The agency must know that it will be expected to deliver on its promises, show tangible improvement, and share the results of the audit with city government, regardless of what those results are.

Chief of Police

The Chief of Police shares two significant positions of responsibility in implementing the program. The Chief must insure that the Audit Manager is independent, has sufficient resources, obtains department cooperation, and that agreed upon recommendations are implemented. Policy must be written to codify the position and make it part of the agency's regular structure. The Chief must also take action when and if agency managers fail to perform or initiate recommendations. The Chief of Police, through initial planning and open access to non-sensitive results, can insulate the unit and focus its presence on improvement.

Police Officer's Association

Members of this group may perceive that the Professional Standards Unit will have dual impacts on its members. The unit should engage in work that should make the member's work more focused on the agency's mission, make managers more responsible and aware of ways to improve performance and save money that could be made available for wages and benefits.

However, there could be a backlash if recommendations are not implemented, managers are not held accountable, and benefits are reduced due to audit recommendations. Police Officer Associations are highly political and see changes as opportunities to lose or create benefits. In this sense, they must be approached and reconciled to implementation of the unit.

Commission on Peace Officer Standards and Training (POST)

POST has not supported implementation of internal auditing units through class offerings but can be a catalyst in the creation of such units. POST does offer management consulting assistance but could work to expand that concept to develop classes designed to teach agency personnel how to conduct and prepare performance audits. POST support of this concept through research or classes would play an important role in validating the role of such units in policing. There is enough audit data surrounding the threshold events of major departments to validate the need.

Political Advocates

The legislature can be lobbied to pressure POST to make regular auditing a mandate. In 1999, POST made all agencies have a POST certified Field Training Program. This was done as recognition that the quality of field performance is contingent on basic standards of training. All agencies had to submit their programs for approval after receiving direction on what standards were required. Political pressure at the local and state level could provide a bully pulpit for internal implementation and from external criticism of those efforts.

Implementing a Professional Standards Unit can raise fears about the direction and intent of the unit. It can bring about defensive reactions to current performance standards and the

relevance of outside standards to an agency's work. There is a psychological dimension to implementing an internal unit designed to identify work related behaviors that need changing to meet future needs. Many times these processes or structures have served the agency well, or at least have not been examined to the extent that their presence has been called into question. Long time agency employees may feel a sense of loss because of new policies and changes to existing structures. Their sense of identity may be very closely associated with the existing organization. They may acknowledge that changes need to be made, but not "those" changes. N.I.M.B.Y. (not in my backyard) is always an element in the change effort.

The list of potential obstacles and stakeholders must be acknowledged and addressed prior to implementation and carefully monitored thereafter. Change management requires that the organization be prepared for the change to enable as seamless a transition as possible.

Resources

In order to implement a Professional Standards Unit, the agency must identify an employee of manager rank who possesses requisite skills to conduct a variety of audits. There are several characteristics of a good Audit Manager. Among them is the ability to see connections between work and process; organize and delegate work; write clearly and directly; interview and listen to fellow employees; read between the lines when asking questions; and have credibility within the organization. This last characteristic is essential.

The Audit Manager must have a private office in order to conduct interviews and work on the audit document. Many of the interviews can be stressful to an employee even though the Audit Manager or his designee is fact finding only. For reasons mentioned earlier in this project, audits occasionally reflect poorly on supervision and management. This may be inherently

stressful for the employee. The privacy of the office can make the interview more thorough and meaningful to the audit. The written document is a confidential resource for the Chief of Police or Chief Executive and is only shared with his/her permission. It is important that working drafts and resource material be controlled. A private office helps this aspect.

The Audit Manager must have Internet access in order to do the research that many audits require. Statistical data is often an important element in benchmarking and obtaining best practices. It can be obtained through the numerous sites available on the web. In order to conduct audits, the Audit Manager must often visit other departments or organizations that have data relevant to the audit. Since audits also include work place design and an examination of the environment, a vehicle is essential. Although POST does not offer any formal training in audit practices, there are opportunities through extension classes and books on auditing. The position's budget should include materials, supplies, training, and a vehicle account.

The degree to which the agency visibly supports the position will greatly enhance the manner in which the position is viewed. Resource allocation is often the internal smoke signal agency members read to see what is important. The Audit Manager must be provided resources commensurate with other agency units in order to establish the credibility of the unit and the agency's intent.

Implementing the Professional Standards Unit

The Professional Standards Unit is about the future of the agency. In order to get to the future, a compelling description of what the future will be like is necessary. What will the place look like? How will I feel about our reputation? What will the relationships be like within the

agency? What will people say about us? This, by its nature, also includes accurate assumptions about the present state of the organization.

Many people, including the public and city government, assume that agency management is aware of current managerial trends and developments. This includes audit functions, benchmarking, best practices, etc. It would be more accurate to say that police agencies see themselves as distinct entities that aren't required to engage in the type of analysis that private sector organizations regularly use. In truth, discretion given agencies in setting education levels for hiring and promotion, the lack of official pressure through POST or local government, and the lag time that often exists between performance and outcomes also make the assumption questionable. Audits, if they are done at all, are often reserved for correcting poor performance that has led to public criticism.

It is important that the vision paints a clear picture of the present and explains the many benefits associated with implementing the Professional Standards Unit. It is also important that the future may include mandatory auditing forced on the agency and in a way that the agency may not want. If scandals in departments increase, public opinion transferred to lobbying may yield unpleasant results. It is better to do it yourself. The organization can help itself by considering the following attributes that will assist in implementing the unit:

Share Ownership

A Professional Standards Unit must be viewed as the property of the key players. Because it can, just by its presence, exert pressure and stress on the organization, it has to be sold and its outcomes publicized if possible. This may mean allowing media access to non-sensitive

results. The media can play a significant role in the success of the unit. Publicizing agency successes that result from recommendations is a good approach.

Share Outcomes

Most agencies share many fundamental similarities. These basic attributes are often used by Audit Teams in researching performance benchmarks or examining reportable comparisons (agencies that are similar in size, demographics, and general mission). Sharing outcomes with concerned parties inside and outside the organization builds support for the program. Internal stakeholders have to see results and benefits. Outside agencies can be helpful by acknowledging the nexus between the agency's results and their own issues.

Support Recommendations

Once an Audit Team has made recommendations and the Chief of Police accepts them, an implementation schedule must be developed. It must be made clear to department managers and supervisors that the only way to measure the success of the unit is to measure the change in the performance of the unit that was audited. This often is not complex nor does it require a great deal of time and resources. Managers and supervisors who fail to implement recommendations must be dealt with as anyone who fails to follow policy.

Program Evaluation

In order to measure the impact of a Professional Standards Unit, it is necessary to develop feedback mechanisms and a means to monitor the outcomes of the audits. Since the objects of a Professional Standards Unit are varied and the depth and scope of an audit are driven by the

topic, a flexible approach that uses objective measurements and subjective feedback should be adopted. The objective measurements may include changes in productivity, sick time, personnel complaints, employee retention, reassignment requests, employment applications, and media coverage.

An important feedback mechanism is the relationship the Audit Manager has with the Chief of Police. The Audit Manager must have agency credibility and feel free to report a lack of cooperation or any other issues that impact the unit. Employee surveys are also an important dimension in measuring results. After an audit, a survey of affected employees can be done to identify the manner in which the audit was implemented. For example, the Torrance Police Department recently completed an audit of the Detective Division that included comparing workloads with other departments, divisional structure, interviews with all divisional employees, and an examination of the work environment.^{xxiv} A survey of divisional employees was designed. It attempted to measure employees' thoughts about the current work environment, the degree to which they feel a part of change, the adequacy of the audit questions, the scope of the audit, and their suggestions for improvement.

In order for the Professional Standards Unit to work effectively, the results of an audit cannot be secret. Results and recommendations should be published in general form to keep the agency aware of the unit and the benefits that accrue from its presence. The Professional Standards Unit is intended to improve the agency. Like all other agency functions, it too can be improved if there is a need based on feedback from affected parties. There are as many approaches to audits as there are types of audits. An agency should feel free to experiment and change the approach as necessary. There is a saying that all good tactics are flexible. All good

processes should adopt the spirit of that saying. The Professional Standards Unit should have feedback mechanisms in place to provide guidance in serving the department.

CHAPTER V

TRANSITION MANAGEMENT

Change efforts within organizations often fail for a number of reasons. Among them is the failure to adequately prepare the organization for the change. Transition management is the vehicle for organizational change. As historically conservative organizations, police departments approach change skeptically and with reservations. A transitional plan can make the experience less painful and facilitate successful implementation.

There is little doubt that law enforcement agencies need to establish Professional Standards Units. The history of the industry and the more recent misconduct scandals point to an industry that must seek all available means to address performance standards and create new directions. Initiatives in Community Oriented Policing and other police/public ventures have shown that the police can benefit from adopting non-traditional protocols and that there are many elements of the non-police world that have immediate relevance. A transition plan needs to be developed to provide a comprehensive schematic for implementation.

Commitment Planning

Commitment planning is a methodology to identify those key people who will play a significant part in the change. It organizes information gathered through the stakeholder process to provide strategic direction. Commitment planning is what the name implies: what level of commitment will the stakeholder have and how will these levels of commitment interact with each other to assist with the change or impede it? Critical mass analysis is an important part of the planning process.

Critical mass analysis deals with those people or entities that are essential elements in the change. A critical mass chart is a visual means of contrasting and comparing the players in the transition to a Professional Standards Unit for law enforcement. The following people and groups are the critical mass group:

- Police Chief
- City Manager
- City Council
- Police Managers and Supervisors
- POST
- Police Association
- City Attorney
- Courts
- Public

CRITICAL MASS ANALYSIS CHART

Critical Mass Members	Block Change	Let Change Happen	Help Change Happen	Make Change Happen
Police Chief		X→		O
City Manager		X→	O	
City Council		XO		
Police Managers and Supervisors		X→		O
POST		X→	O	
Police Association	X→	O		
City Attorney	X→	O		
Courts		XO		
Public		XO		
	X= Current Position		O= Desired Position	

The critical mass chart provides the reader with an overview of the current position each member is expected to take in the transition plan and what the desired position should be. The chart uses the symbols X and O to denote the current positions and arrows to show the direction desired for the transition to happen in its most effective way.

The Chief of Police must move from letting change happen through helping change, to making it happen. Strong support from this position is needed to implement the program and keep it on track. The Chief's position is pivotal in making the recommendations work and insulating the Audit Manager from internal conflict. He or she must lobby key players, keep the process in front of this group, and advertise results to obtain the support necessary in the transition.

The City Manager needs to help it happen if the unit is to succeed. The Professional Standards Unit will surface issues that will be similar to those experienced in other city departments. The City Manager controls funds for the unit's initial implementation but may be asked to support other initiatives that result from the audits, such as new programs or requests for additional personnel. Support from the position is essential and will influence other key members in the critical mass analysis.

Since the City Council sets policy and approves funding for the agency, they must let change happen. The City Council has a vested interest in precluding long term problems that can embarrass the city or cause agency dysfunction. They are not required to actively participate in the program but must let it happen and allow changes derived from the audits.

Police Supervisors and Managers must make it happen. They must cooperate with the audits, embrace the recommendations, and begin looking at their operations as day-to-day auditors. They will also provide feedback on the results. Their employees take their behavioral cues from their supervision so they need to make sure that the process and unit is viewed as valuable.

The Commission on Peace Officer Standards and Training (POST) lets it happen but needs to help make it happen. It has not taken a position opposing the implementation of a

Professional Standards Unit but has also not facilitated its implementation through research efforts or class offerings. POST is a strong political influence on law enforcement and can help the transition through its existence as a resource and advocate.

Police Officer Associations need to let it happen so that transition can occur. The association may harbor negative feelings toward the change. Audit results could indicate diminished benefits are necessary for association members in terms of premium pay and range of assignments. Still, there are positive benefits that far outweigh the short-term issues associated with the audits. The association must let it happen and participate fully in the audit process if the unit is to transition successfully.

The City Attorney needs to let it happen. The City Attorney's Office, while not actually involved in the transition, may have to deal with the results of the audit and needs to be concerned about the results. This office may have a dual view of the unit. Recommendations should improve processes which, in turn, should result in an agency that is managed more effectively and exposed less to costly lawsuits. On the other hand, all audit information is open to legal discovery. This office can support the transition by letting it happen. If it took a position of "block the change," it would be detrimental to adoption of the program and may influence the City Manager's Office and City Council.

The Courts have traditionally gotten involved in the audit process only when recommendations derived from an audit were ignored or if the agency failed to audit critical functions. The police association may petition the court if the audit process is perceived as a de facto Internal Affairs function or there is a conclusion that audit results are mitigating the meet and confer collective bargaining process. A commitment to let it happen is enough at this point.

The Public has to let it happen. Though not technically well informed about the level of management awareness within their agency, they are supportive of efforts to diminish lawsuits, retain good employees, and improve the quality of the service their agency renders. Visible support is not needed to make it work.

Transition

A transition team should be formed with a Project Manager as the administrative leader. The Project Manager must have the motivation, energy, and people skills necessary to make it happen. The Chief of Police and associated members of the internal and external environment can be supportive, but the nuts and bolts of the research and implementation needs to be done by a committed group of individuals who possess the organizational background and current management knowledge. It is reasonable that the Project Manager act as the first Audit Manager. This person would possess the most current knowledge of critical industry issues, outside approaches to auditing, and the intimate knowledge of the agency's culture. A team of internal stakeholders should be formed to examine available resources and make a recommendation on program standards, feedback mechanisms, audit protocol and operating procedure. The Transition Team's progress should be publicized and kept before the organization at all times.

Any audits of other police agencies, government audits, and audits of private sector organizations should be gathered and used as subject matter for staff meetings, briefings, and supervisor training. Transition implies developing new competencies. The agency can take the transition period as an opportunity to plant the seeds of auditing as a fundamental part of the agency's operations.

Responsibility Charting

Responsibility charting is a mechanism designed to identify and clarify role responsibilities in implementing a Professional Standards Unit. Through this chart, those who have a stake in the process and whose actions are essential for its success, have unambiguous direction for their actions. Each decision that is required for successful implementation is charted and the person or group responsible for it is identified. In short, it allows everybody to see the big picture and where they fit in. The following table represents the responsibility chart for transitioning to a Professional Standards Unit:

Responsibility Chart						
Decisions	Participants					
	City Manager	City Council	Police Chief	Police Mgrs.	POA	City Attorneys
1. Initiate Project	A	I	R	I	I	S
2. Select Project Leader	I	I	R	S	I	I
3. Select Project Team	I	I	A	I	I	I
4. Set Intent	A	I	R	R	I	S
5. Create Policy	A	I	A	R	I	S
6. Train Managers	I	I	S	S	I	S
7. Select Audit Topics	I	I	R	R	I	C
8. Implement Audits	I	I	S	I	I	I
9. Measure Results	S	I	S	R	I	S
R = Responsibility A = Approval			S = Support I = Inform			

Even if a change is well intended and is beneficial to the short term and long term needs of the organization, there are consistent elements that cause change efforts to fail. Transition management needs to recognize that a Professional Standards Unit may challenge traditional and longstanding cultural artifacts. By its nature, such a unit collides with standard measurements of competence, success, and chains of authority. Improving performance may mean changing accepted organizational values.

Responsibility charting offers a visual means of managing the nuts and bolts but it does not deal with a perceived sense of loss or identity that may be a result of changing how the organization judges itself. Organizational members have often built careers and their sense of achievement on the norms of the organization. Changes, especially those that can come from a well-directed Professional Standards Unit, can be perceived as challenging that identity and sense of success. The Chief or Sheriff must lead the change and manage the context if a Professional Standards Unit hopes to impact performance. The change must be viewed as an opportunity to influence performance before performance is defined and influenced by others.

CHAPTER VI

CONCLUSIONS AND RECOMMENDATIONS

A review of the literature, an awareness of the issues confronting law enforcement, and contact with other concerned managers in the law enforcement community clearly indicate that an internal auditing system in the form of a Professional Standards Unit is necessary for law enforcement. Some agencies have moved in that direction with units designed to measure adherence to existing policy or compliance with agency procedural issues. Unfortunately, while these areas are valid objects of an audit, they often do not evoke information about the far-reaching consequences of agency processes and the related work environment. Deep probes of the agency are just as necessary as the day-to-day behaviors and should not be the consequence of threshold events.

Highly publicized scandals that have made law enforcement the focus of the media are the surface of the problem. A closer look invariably reveals a lack of adherence to standards, comparatively low standards, or non-existent standards. It also reveals a lack of internal curiosity or interest in how the agency performs against best practices. Invariably, successful organizations of any type are constant learners who have acknowledged that the best way to avoid bad things is to plan for good things. Regardless of size and location, the public should expect their agency to have the latest and most effective approaches to policing. If given the choice, few people would take their family to a physician who did not maintain his or her knowledge level. Competence then is closely related to relevance. The public deserves an agency that is committed to examining all aspects of their performance.

It is important that law enforcement agencies employ a Professional Standards Unit and implement a systematic auditing schedule of their agencies within the next five years. To make this unit a reality and a valued, organizational tool, the following direction is recommended:

- The agency should establish a Professional Standards Unit as a formal part of the organization.
- The unit should report directly to the Chief of Police and conduct a variety of audits, both special and general, based upon agency need.
- The Professional Standards Unit should be staffed and supported in relation to its importance for the agency's future.
- Agency managers and supervisors should be exposed to audit training and the philosophy behind internal auditing.
- The Audit Manager should be rotated into other assignments in accordance with agency protocol.
- Recommendations agreed to should be implemented according to a schedule.
- The agency should develop and publish operational guidelines and protocols for the unit and place them into the agency manual.
- Fiscal savings or agency efficiencies should be published.
- The Professional Standards Unit should publish an annual report of its activities.
- Audit Teams should be varied and repeat members avoided.

Conclusions

Measuring what we do and comparing what we do to a standard is a commonly understood behavior. It is part of our collective consciousness. Law enforcement has the opportunity to initiate internal measurements that provide feedback on how a department is doing according to basic industry standards. It also has the opportunity to expand the idea of industry standards by introducing concepts and comparative behavior from outside the scope of law enforcement.

Law enforcement's mission, to create safe communities, is contingent on constant awareness of the many factors that impact that mission. The philosopher Eric Hoffer said, "In times of drastic change, it is the learners who will inherit the earth, while the learned will find themselves ill equipped to live in the world now at their doorstep"^{xxv} The past and the

developing future reveals an industry that needs to reflect on Hoffer's distinction between the learned and the learner. While many of the standards in law enforcement are unique, they aren't so unique that they escape comparison to standards in any well-run organization. The public knows this and can be expected to insist on this expanded sense of performance standards. The information age has made auditing performance topical and easy to understand.

A Professional Standards Unit is consistent with a business that seeks to have as much impact on their future as possible. It is consistent with a business that is looked upon as critical to the community's well being. It is consistent with a business that believes that good tactics are flexible tactics.

Agencies that implement these units have the opportunity to make their environment adaptable where it needs to be and rigid where it must be. Employees will develop a sense of risk taking that is not about physical behavior, but about risking to conceive of better ways to deliver service and prevent problems that leave scars on the agency.

Very often stress in an organization is a result of the difference between the stated values of the organization and the operational values. The greater the difference, the greater the stress. Implementing and supporting the work of a Professional Standards Unit permits employees to participate in agency improvement at the ground level. It generates ideas and recommendations from Audit Teams that are cross sections of the department. It asks employees to validate existing standards or create new ones. Ownership and pride in the organization's future is fostered by continual appraisal of existing structures. Appraisal through a general audit schedule sees to it that the audit process deals with the performance of many individuals, not just a few.

It is reasonable to believe that the expectations of law enforcement as the one stop shopping entity of local government will continue. Law enforcement is the most visible and

accessible component of government. It is also reasonable that the public demand for the highest standards in law enforcement will increase during the next five years. The Professional Standards Unit is a means to focus organizational energy and resources on improving performance. If law enforcement desires recognition as a major force in creating the future in the community, that recognition will be based on how well it meets the changing environment. That recognition will increase if it can demonstrate that it has the ability and the desire to expand its approach.

Law enforcement training needs to be adjusted to accommodate these changing needs. Organizations like POST can act as advocates for the type of training that the past and present has demonstrated is urgent to meet a changing future. Conducting performance audits is a necessary element of sound police management training. Based on the literature, there are many people willing to do it for law enforcement. It is not for the designated Audit Manager, but for all managers.

Implementing a Professional Standards Unit will present difficulties for any department. Some of the obstacles have been discussed at length in this paper. But the offset in terms of cost savings, improved morale, improved public trust, and improved professionalism greatly outweighs the presumed difficulties. A Professional Standards Unit ultimately does two things of importance: it educates the agency and improves the overall health of the organization. A Professional Standards Unit should improve agency performance by constantly redefining performance in terms of the relationship law enforcement has with community, not by the themes and accepted dogma of the industry. A Professional Standards Unit should bring a more effective and efficient use of agency resources as the fundamental behaviors of the organization are examined in light of its mandate to make safer communities. As the agency brings members

into the audit process, the agency makes internal auditing less an unpleasant repercussion of misconduct and more an element of the healthy organization. In much the same manner that exercise has immediate and long term impacts for the body, a Professional Standards Unit strengthens the existing structure and causes growth where needed. Community Oriented Policing (COP) asks the agency to interact with the community using all available resources to prevent crime and the fear of crime. A Professional Standards Unit is a logical analog to COP efforts and should work to decrease poor performance, poise the agency for change, and improve analytical skills necessary to function in an increasingly complex and collegial atmosphere.

APPENDIX A

Nominal Group Technique Participants

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Timothy Hillis, Lieutenant
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Mr. Jay Wachtel
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Ms. Joanne Satterburg
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Ms. Lynn Lindberg
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Mr. Mark Johnson
Diversion Coordinator
City of Torrance Police Department

Ms. Anne Barnett
Consultant

Ms. Carolin Keith
Public Affairs Officer
Exxon-Mobil Corporation

Mr. Patrick Wren
Volunteer Coordinator
City of Torrance

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