

HOW WILL ETHICAL ISSUES IMPACT
21st-CENTURY LAW ENFORCEMENT?

by

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JUNE, 1989

PART ONE - FUTURES RESEARCH

How will ethical issues impact 21st century law enforcement?

PART TWO - IMPLEMENTATION OF A STRATEGIC PLAN

A model plan for law enforcement in general and California law enforcement specifically.

PART THREE - TRANSITION MANAGEMENT

A description of a management structure for a planned transition in ethical decision making, ethics management, and ethics awareness and identity.

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Abstract

PEACE OFFICER STANDARDS AND TRAINING
(POST)

Supplementary Executive Summary

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This is a three-part study of ethical issues that will impact law enforcement in the very near future. Part One identifies the problem as it affects persons and organizations. Many examples are given to indicate the extent of the problem and to point out that if the problem is not corrected it will only get worse. A futures wheel is used to identify sub-issues, and a sub-issue is studied in detail. Trends and events are identified and their relationship to each other and on the future impact of the issue is discussed. Three scenarios are developed to illustrate the extent of the problem as it progresses unchecked, or how it is anticipated we can control the issues which confront us as police managers.

Part Two discusses the development and implementation of a strategic plan, how and why the plan is necessary, and the steps used to bring it to fruition. It identifies the weaknesses and strengths of the organization and develops the plan around this research according to the capability of the organization. The stakeholders are identified and the critical mass is studied to identify their effect on the project at all stages of the process; their assumptions and special interests are noted. A mission statement specific to the sub-issue studied is developed, and the certainty of the stakeholder assumptions is graphed as it pertains to that mission statement. The execution of the chosen alternatives is studied as to their feasibility and desirability, and how the stakeholders will accept the alternatives with which negotiation for policy acceptance is accomplished.

Part Three studies the methods to manage the change created in the organization because of the new policy alternatives. The commitment of the stakeholders is discussed as well as the management structure, and there are examples given of actual implementation of the policy alternatives. Readiness assessment and the development of implementation support are also part of this stage of the study.

The strategy alternatives are derived after careful consideration of the perceived trends and events. The identified trends are:

- Increasingly materialistic society
- Decreasing Protestant work ethic
- Increasing tolerance of varied ethics
- Willingness to attempt/chance compromise for personal gain
- Increasing "ends justifies the means" attitude.

The identified events are:

Ethics are legislated

Financial upheaval

War

Moral and ethical deterioration

Restoration of "victorian ethics".

A conclusion and recommendation section is followed by appendixes at the end of the paper.

How Will Ethical Issues Impact 21st-Century Law Enforcement?

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Abstract

The study consists of three parts: a futures research which traces the impact of several issues of ethical considerations and their affect on individuals and organizations; a model strategic plan for the development of strategy alternatives to manage the personal, organizational, professional, and societal (POPS) ethics of those for whom we maintain a responsibility; and a transition management plan for the inception of these strategy alternatives. The study identifies trends that will increase in the coming years and develops seven strategy alternatives for addressing the problems generated by these ethical trends. The transition management plan presents a feasible management structure for the inception of these strategies. The study includes an indepth follow-through of two of the alternative strategies, and provides sample in-house and external questionnaires intended to ascertain the ethical climate.

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HOW WILL ETHICAL ISSUES IMPACT
21st-CENTURY LAW ENFORCEMENT?

INTRODUCTION

A story is told about a conversation between Mark Twain and a lady in a tavern. When Mr. Clemens inquired if she would go to bed with him for a million dollars, she was most anxious to provide him with her favors. He then asked if she would go to bed with him for only a few dollars, to which she exclaimed, "Of course not, what kind of a girl do you think I am?"

He replied, "We already know what kind of a girl you are, now we are negotiating the cost."

Obviously, to this anonymous mistress of passion, there is presented an ethical dilemma, a dilemma which in no way influenced or interfered with Mark Twain's original objective or intent. He did not experience a similar conflict of ethics.

For many years, I thought of this as only a humorous anecdote. I appreciated the message but did not realize the implications. Even though I have been teaching a class on ethics for several years, I only possessed a strong belief and understanding of the principles. To be personally touched by the awareness

of an ethical compromise was not in my experience. I did not possess the knowledge of it in the way the ancient Greeks defined knowledge with the word "ginosko", the knowledge gained by experience. A set of coincidences brought to me the personal realization, the "ginosko", of how desperately we need to recognize and manage the ethics, the dilemmas, that we experience daily in our personal and professional lives.

While I was with the Military Police Corps in Vietnam, my commander was Colonel Louis Giuffrida. The following year, while I was an instructor at the Military Police Training Center, Fort Gordon, Georgia, my commander was again Colonel Giuffrida, who presented me with the Army Commendation Medal for military actions in VietNam. Several years later, I attended the Officer Survival School at the California Specialized Training Institute, San Luis Obispo, where Colonel Giuffrida was the commandant. Because our careers had crossed paths over the years and I had many encounters with the colonel, he became somewhat of a mentor to me.

Again, several years later our careers crossed paths. The year was 1987; I was teaching ethics and always looking for examples to take to class to demonstrate the importance of vigilance to accepted ethical principles in our personal lives. As I opened the May 25, 1987, issue of Time magazine to the article titled "ETHICS - WHAT'S

WRONG", my surprise was great to find, again, Colonel Louis Giuffrida. This occurrence was, sadly, under less honorable circumstances. The caption beneath his picture read "Director, Federal Emergency Management Agency-- Resigned amid allegations of misuse of Government property".

No longer was I content to laugh at the story about Mark Twain's conversation with the lady. Rather, I realized the gravity of the situation. The situation was now personal. The names in the recent headlines brought out circumstances and consequences much greater than I had previously assigned them.

Wall Street high-roller Ivan Boesky, televangelists Jim and Tammy Bakker, Oliver North, Gary Hart, Jimmy Swaggart, Nixon, and the list goes on and on. From the above-noted issue of Time magazine alone, one could compile over two dozen examples of individuals who participated in behavior ranging from unethical to flagrantly criminal.

Now I have the "ginosko" type of knowledge. Now I understand why it is so vitally important that we address how ethical issues will impact 21st-century law enforcement. More importantly, with the awareness of these incidents comes a fear that ethical issues are going to be of even a greater concern as we approach the 21st-century. Unless we take steps now to manage these

issues, we will soon find them unmanageable.

As we herein identify the ethical considerations that impact us, we also recognize the impact of these issues on our chosen profession of law enforcement. We cannot help but recognize the importance of effectively managing the personal, organizational, professional, and societal ethics of those for whom we maintain a responsibility.

PART ONE

FUTURES RESEARCH

STATEMENT:

As identified, the scope of Part One is to identify the issue and related sub-issues. This will be accomplished by using futures research methodology. Scenarios will be developed to emphasize the impact of alternatives and specific methodology will be used. The developed scenarios will then be used for the purposes of strategic planning to follow in Part Two.

PROJECT METHODS:

The following methods are used in Part One to obtain and evaluate the information relative to the issue:

1. Scanning (STEEP)
2. Personal Experience (Life Experience)
3. Nominal Group Technique (NGT)
4. Futures Wheel
5. Trends and Events Identification
6. Trends and Events Forecasting
7. Cross-Impact Evaluation
8. Futures Scenarios

SCOPE OF THE ISSUE

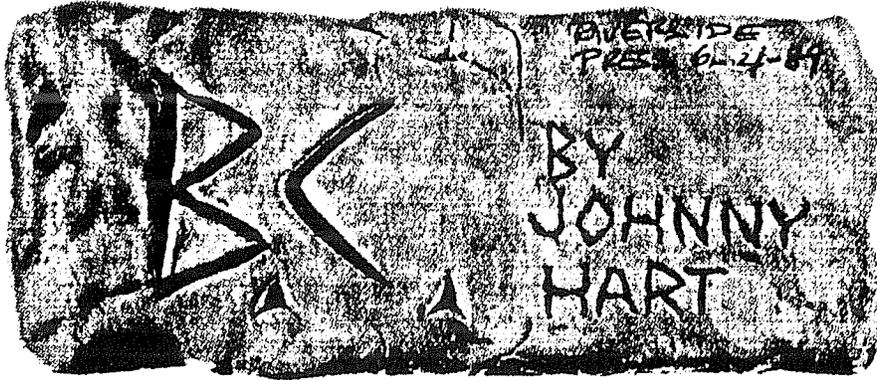
Will Rogers is quoted as saying, "What America needs is dirtier fingernails and cleaner minds." Apparently he

was correct. I had originally anticipated that the subject matter would speak for itself. Little did I know that the extent of the material would be so great. While gathering and collating the information, I came to realize the enormity of the subject matter and the wide range of potential issues that could be explored.

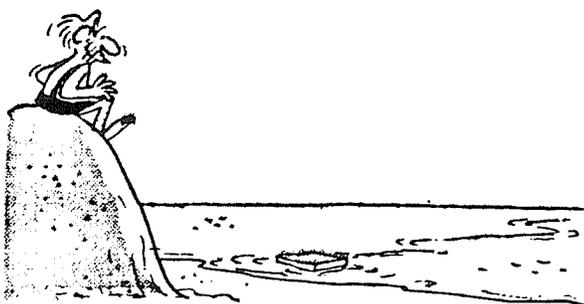
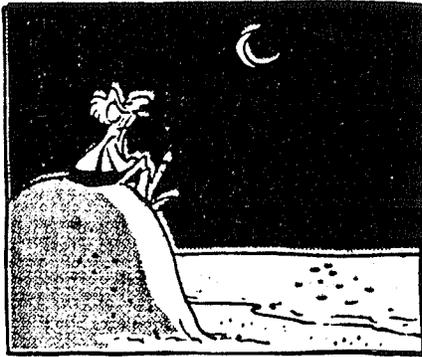
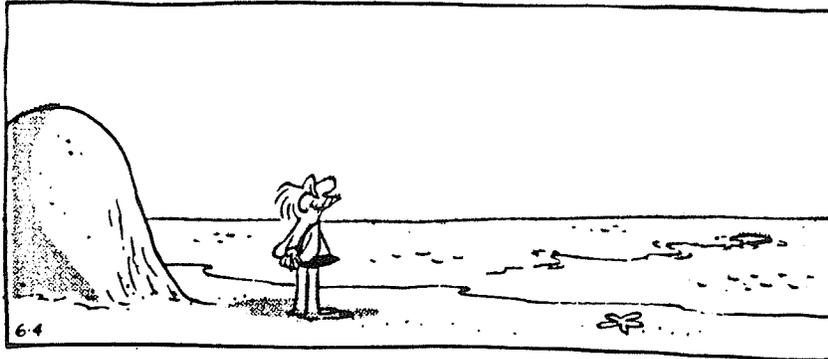
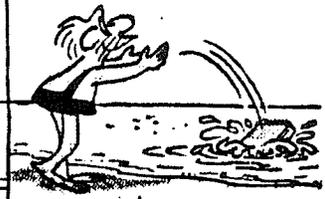
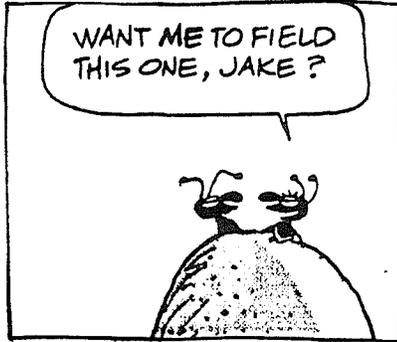
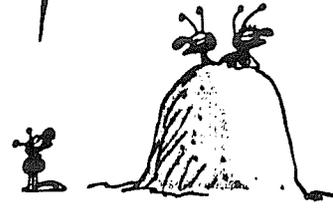
The central issue of this research is not only to define how ethical issues will effect law enforcement, but more precisely, to decide how we will manage those ethical issues. How will we, as conscientious professionals, steer the course of police management in an area which, until now, has had little if any precise direction.

We have been good at pointing to the issues that need clarification in the area of ethics. We have recognized that issues and sub-issues need to be identified, quantified and managed. We have even been able to classify the ethical issues into areas of personal, organizational, professional and societal concerns. What we have lacked is the ability to understand and direct strategy alternatives to the issue. An example of this shortcoming is noted in the following cartoon¹ by Johnny Hart. It does well to illustrate that we have known there is a problem out there, but it's just muck to us!

¹. B.C., cartoon by Johnny Hart, Riverside Press-Enterprise, June 4, 1989.



WHAT DOES THE WORD
RIGHTEOUS MEAN, DAD?



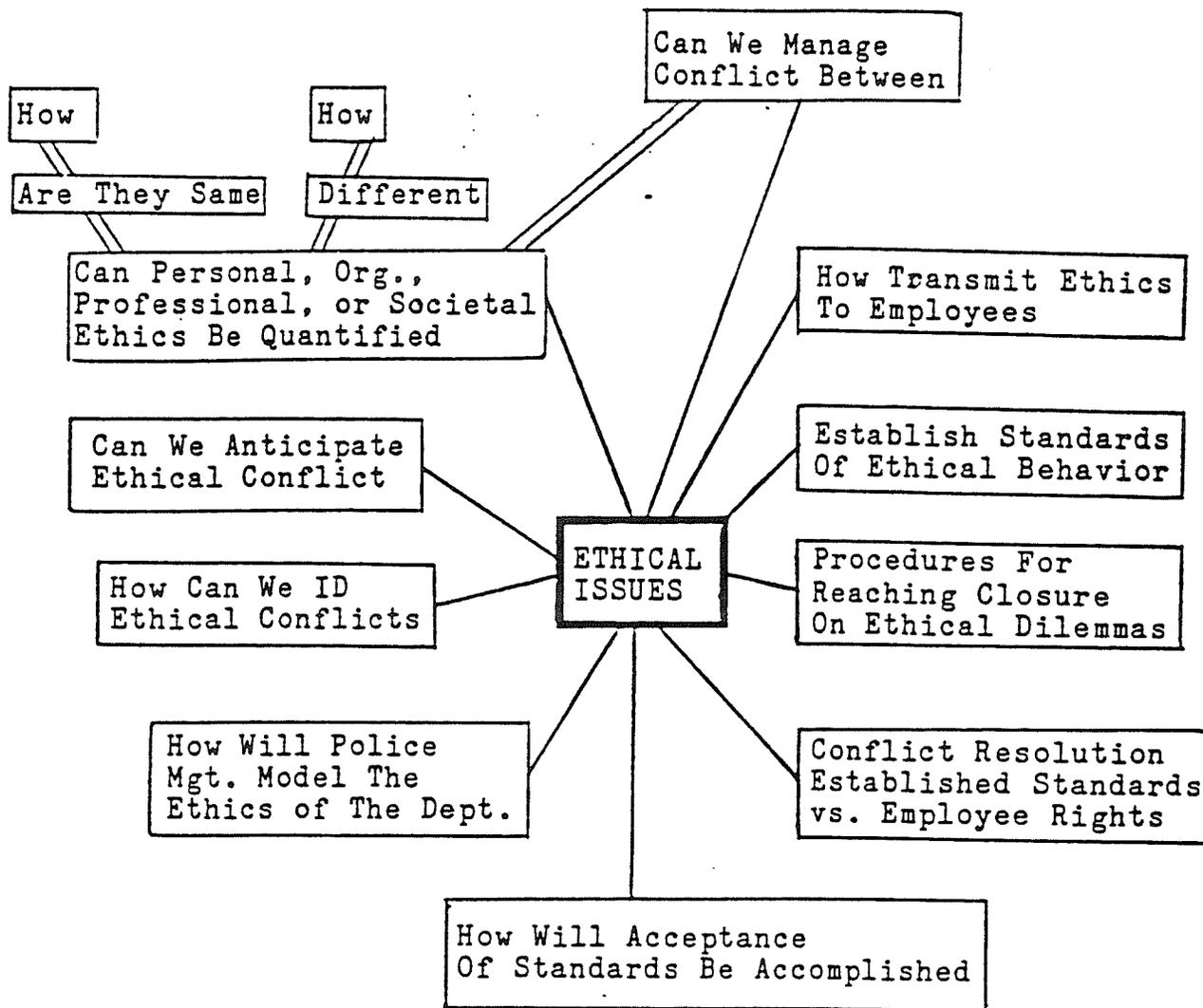
IDENTIFYING THE ISSUE AND SUB-ISSUES

In an effort to better understand the issue, and to target the specific intent of the research, a study group was formed for the purpose of forecasting the effects of ethical issues on law enforcement, and identifying managerial concerns in this arena. This "nominal group" was representative of the following professions:

- Financial Consultant, Purchasing Agent
- Mathematician, Engineer, Electronic Weapon Expert
- Educator
- City Government Liaison
- Medical Professional
- Police Manager
- Legal Professional Liaison
- City Personnel Liaison, Examination Proctor

In a brainstorming session, this group identified and defined sub-issues relative to the question, "How will ethical issues impact 21st-century law enforcement?" Relevant sub-issues were identified and plotted by use of a Relevance Wheel, shown on the following page. By use of this illustrative tool, the relationship to the central issue of each sub-issue could be easily recognized by all participants. In identifying the sub-issues, specific criteria and definitions were established. All participants agreed that each

RELEVANCE WHEEL



identified sub-issue chosen would be specific and conform to these criteria:

1. values: those fundamental beliefs upon which decisions and conduct are based.²
2. ethics: accepted rules of conduct governing an individual or group.³
3. principles: ethical standards relied upon for guidance in decision-making.⁴
4. project focus: to target the management of ethical issues and dilemmas (this as opposed to judgmental issues of personal beliefs).

As we developed the relevance wheel, it became apparent that we were dealing with a variety of ethical issues. Of all the issues, one central point came forth as having greater significance than all the other pieces of the puzzle. It was felt by all the participants that if we could cope with this issue, the others could be refined and incorporated in this main concern.

Identified as the greatest concern is whether personal, organizational, professional, and societal ethics can be quantified (examined, given attributes, and

2. Unit Guide For POST Supervisory Course, VALUES, PRINCIPLES, AND ETHICS, page 1.

3. Ibid.

4. Ibid.

weighted); and, how we can manage the conflict between them.

SUB-ISSUES SELECTED

1. How best can we quantify the personal, organizational, professional, and societal ethics of those to whom we maintain a responsibility?

2. How best can we manage the conflict between the personal, organizational, professional, and societal ethics of those to whom we maintain a responsibility?

These sub-issues adhere to the criteria established and fall within the scope of the central issues previously identified. It is also felt that these two sub-issues hold the greatest potential to impact the initial project statement, which expressed a concern directed specifically at ethical issues impacting law enforcement in the future.

Also, as was stated earlier in the section on identifying the issue, these two sub-issues adhere to the criteria and the desired direction of the research, which is to explore ways to manage the ethical issues, and not to focus on specific issues which may be perceived as ethical violations. However, some specific examples may be used in the course of the paper to give clarity to specific ethical dilemmas.

TRENDS

The study group identified trends which were felt to be specific to this question. Using the Trend Screening Form, each group member rated the importance of these trends. The trends and a compilation of their ratings are shown in the diagram on the following page. Using the Trend Screening Form as a vehicle, the group identified the five trends most important to the sub-issue as follows:

1. INCREASINGLY MATERIALISTIC SOCIETY -- This trend reflects the increasingly prevalent attitude of employees now being hired, as well as the general attitude noted in the "Yuppie" generation.

It was decided that the emphasis on materialism (as advertised on the bumper sticker which reads: "He who dies with the most toys wins") was central to the sub-issues of being able to manage ethics.

Offered as an illustration of the diversity of materialistic expectations is the recent cartoon, which follows the trend screening form, that depicts the dichotomy seen as existing in America today.⁵ The "haves" and the "have-nots" are seen as a very real problem. And as indicated in the cartoon, it is only a matter of time until the indicated result is attempted.

5. BLOOM COUNTY, cartoon by Berke Breathed, Riverside Press-Enterprise, Feb. 26, 1989.

TREND SCREENING FORM, COMPILATION OF DATA

For purposes of top-level strategic planning, how valuable would it be to have a good long-range forecast of the trend?

	Worthless.....				
	Not Very Helpful.....				
	Helpful.....				
	Very Helpful.....				
	Priceless.....				

Increasingly materialistic society	3	4	1	.	.
Increasing (>) "I" Syndrome	3	3	2	.	.
Decreasing (<) Protestant Work Ethic	3	5		.	.
> Sexual freedoms	2	2	3	1	.
>Tolerance of varied ethic standards	1	6	1		.
>Employee association powers	1	3	3	1	
<Judicial power to enforce ethics	1	2	1	3	1
>Acceptance to legislate ethics	2	3	2	1	
<Respect for role models	3	2	2	1	
<acceptance of judicial action	1	3	3	1	
>Willingness to attempt/chance a compromise for personal gain	2	6			
>Drug culture acceptance	2	3	1	1	1
>"Do as I say, Not as I do" syndrome	3	3	2		
>"Ends justify the means" attitude	3	4	1		
>Lust for sex and violence	1	1	2	2	2
>ACLU power & involvement in issues	3	2	2	1	
>Latch-key kids lifestyle		2	2	1	3
<Parental/child control	1	2	3	2	
>General arrogance of attitude	2	2	2	1	1
<Value of human life	3	2	1	1	1
>Racial turmoil		2	2	3	1
>General permissiveness	3	2	2	1	
>"Do your own thing"/"If it feels good, do it" attitude	3	3	2		
<Empathy	2	3	3		

The five candidate trends selected for discussion were those which scored a total of seven points in "Priceless" and "Very Helpful". It was interesting to note that discussion gave significant importance to related trends, or those which held similar characteristics or intimated similar traits as those selected. Also, this Trend Screening Form reveals that the attitude of the raters continued to reflect this inclination.

MY GOD... THIS IS SUCH A QUALITY COUNTRY.

WHADDYA MEAN, MR. TRUMP?

MY PALM BEACH COTTAGE HAS 118 ROOMS...

HOW MANY ROOMS DOES YOUR COTTAGE HAVE?

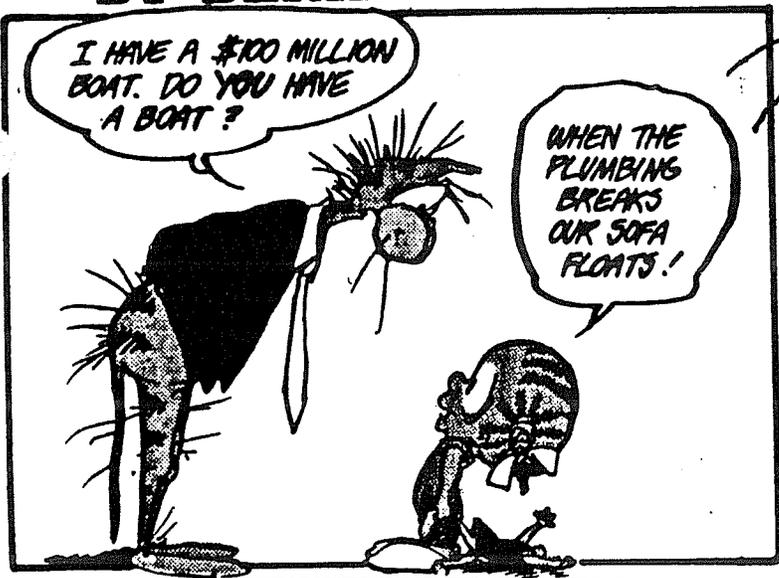
ONE. BUT WE HAVE NINE BEDS! REYNELDA HERE SLEEPS IN A SOUP BOX.



BY BERKE BREATHED

I HAVE A \$100 MILLION BOAT. DO YOU HAVE A BOAT?

WHEN THE PLUMBING BREAKS OUR SOFA FLOATS!

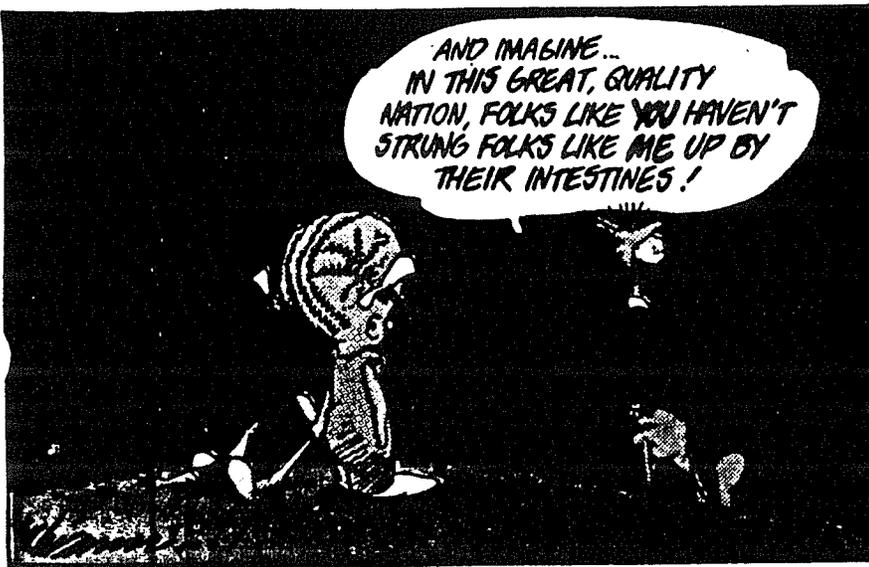


I HAVE A DREAM... A DREAM THAT ONE DAY I MIGHT GET SIX POINTS ON MARGIN FOR THE EIFFEL TOWER DEAL...

WHAT DO YOU DREAM ABOUT? DINNER.

AND IMAGINE... IN THIS GREAT, QUALITY NATION, FOLKS LIKE YOU HAVEN'T STRUNG FOLKS LIKE ME UP BY THEIR INTESTINES!

HUSH. ..YET.



2. DECREASING PROTESTANT WORK ETHIC -- The philosophy of "eight hours work for eight hours pay" is seen as no longer the norm. Employees are no longer interested in what they can do for the company, but rather, what will the company do for them. Much discussion was centered on the inflated expectations which are held by what is believed to be the majority of the work force we, the organizations, employ today. This is, from all indications, a nation-wide phenomenon and in no way intrinsic to any specific organization. Moreover, there is a tendency to tolerate this attitude rather than to abhor it, in the hopes of attracting and retaining an ever-decreasing availability of work force. This is especially true in light of the target age group from the boomers, the baby boom generation. The baby bust, or decrease in available employees from a specific target age group (approximately 21 to 35 years of age) has brought about a severe shortage in the recruitment of qualified candidates, also increasing the competition between the public and private sectors for top quality candidates.⁶

3. THE INCREASED TOLERANCE OF VARIED ETHICAL STANDARDS
The study group ranked this as extremely significant in light of recent headlines. Interestingly, discussion focused of the questionable ethics displayed by the Democratic hopeful

6. "Defining the Future", Intersession project by Richard L. Albee, P.O.S.T. Command College, Class VIII, August, 1987.

for the nomination to the Presidency of the United States, Gary Hart. This was a situation which many believe he induced by his own arrogance. He said, "Follow me around. I don't care. I'm serious. If anybody wants to put a tail on me, go ahead. They'd be very bored."⁷

Then came the headlines which revealed his questionable ethics: Hart, "I'm no cheater," Paper stands by report / ethics debated (USA Today 5-4-87), 'Nothing between us' woman says of Hart (USA Today 5-5-87), and from the same tabloid, Woman in middle 'not a bimbo'. Thus the belief that Gary Hart was the tragic victim of circumstances, but not so.

Central to the sub-issue are the public opinion polls which were conducted to gauge the public's concern over two questions:

- A. Should the media report on the sexual behavior of presidential candidates?
- B. Should voters be concerned about a candidates personal life?

From those responses reported⁸, four out of seven interviewed answered NO to both of these questions.

My study group is concerned with why this response was given. Is it indicated by these polls that we have indeed started a trend that does allow for the tolerance of a

⁷. USA TODAY, QUOTELINES, Tuesday, 5-7-87, page 14A.

⁸. USA TODAY, May 5, 1987, page 14A, and May 11, 1987, page 10A.

variety of ethics, with mixed principles, values, and even morals? The possibility is indeed very real.

4. INCREASED WILLINGNESS TO ATTEMPT/CHANCE A

COMPROMISE FOR PERSONAL GAIN -- The study group noted this as a primary concern due to headline developments which make it apparent that it is indeed the trend for people to be willing to take a chance, to compromise their own personal ethics or even flagrantly violate the law in order to achieve personal gain. As examples, the most notable are discussed:

- Ivan Boesky, who traded on inside information
- Jim and Tammy Bakker, who used televangelism to bilk millions of dollars
- Jimmy Swaggart, who risked his televangelistic calling to satisfy his own personal gratification
- Clayton Lonetree, who violated embassy security in Moscow, reportedly in return for sexual favors
- Louis Giuffrida, Gary Hart, Robert McFarlane, and the list goes on and on.

The study group sees this as a trend, not only to those most notable public figures, but also for the rank and file of those with whom we all work.

5. INCREASING "ENDS JUSTIFIES THE MEANS" ATTITUDE -- It was felt by the study group that the first four trends serve very well to amplify the importance of this trend. Lieutenant Colonel Oliver North is the best example that the group could give to illustrate this ethical concern. Does

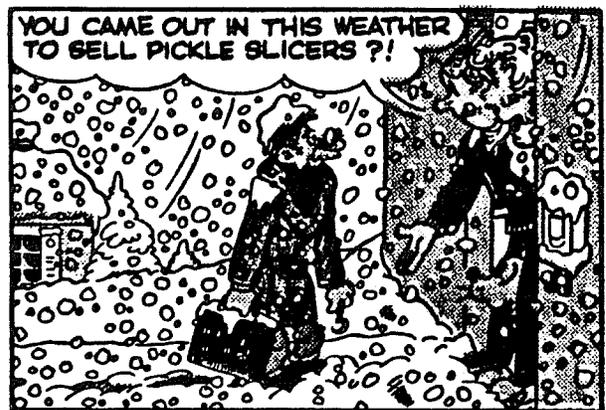
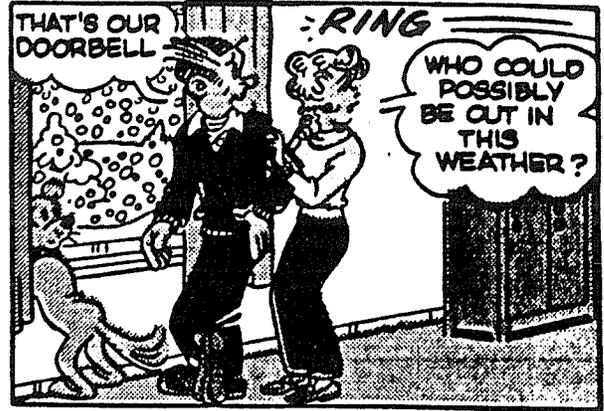
the end in fact justify the means? Should a person or organization use whatever means are available to achieve an honorable end? There may be much conflict of opinion on this subject. At least one police agency in California does believe that "...for the greater public good" it is appropriate to allow citizen informants to have sex with prostitutes so that they (the informants) can later testify to the violations of law in support of red-light-abatement proceedings.⁹

On the following page is a cartoon which is used as an example to illustrate the private sector's interpretation of whether the end does justify the means, and points to some questionable business ethics. A shabbily attired salesman is selling pickle slicers in the snow (...no shoes...five miles to school...). The salesman relies on the customers' empathy and a lie to sell the purported last of his lot, after which his limousine driver takes him to his next victim.¹⁰ However, as is indicated in the second following cartoon¹¹, this attitude (the ends justify the means) is recognized by the study group to be a self actualized belief or expectation, and is only applicable to the selfish person holding the belief.

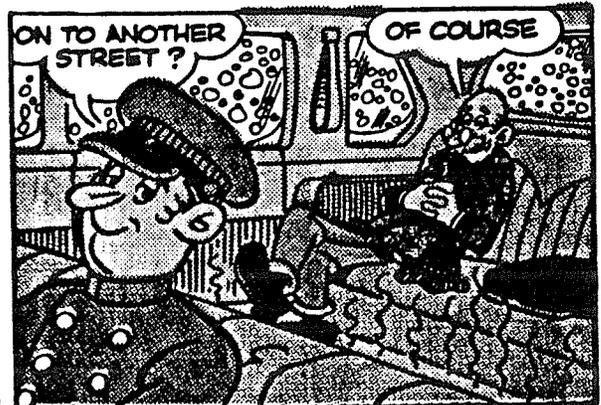
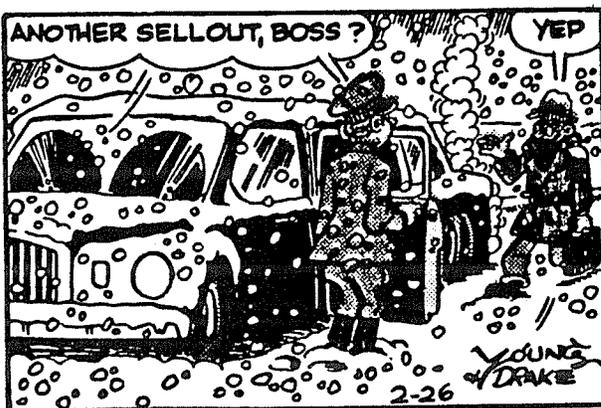
⁹. Riverside Press and Enterprise, Riverside's sex sting raises moral questions. March 12, 1989, page B-1.

¹⁰. BLONDIE, cartoon by Dean Young and Stan Drake, Riverside Press-Enterprise, Feb. 26. 1989.

¹¹. CALVIN AND HOBBS, cartoon by Watterson, Riverside Press-Enterprise, April 16, 1989.



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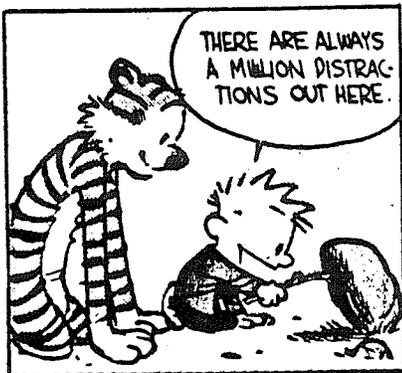
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calvin and Hobbes

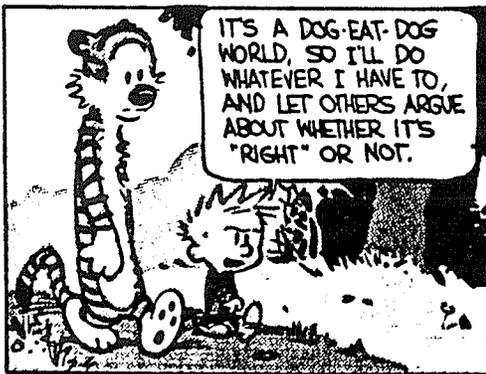
by WATKINSON

RIVERSIDE PRESS 4-16-89

WHENEVER I NEED TO DO SOME SERIOUS THINKING, I GO FOR A WALK IN THE WOODS.



GET WHAT YOU CAN WHILE THE GETTING'S GOOD - THAT'S WHAT I SAY! MIGHT MAKES RIGHT! THE WINNERS WRITE THE HISTORY BOOKS!



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EVALUATION OF TRENDS

The study group then evaluated these trends. The Trend Evaluation Form located on the next page was used to determine the level of each trend. This form illustrates the established level of each trend using information compiled from the individual work sheets, where the trend was five years ago, where the study group feels the trend will be in ten years, and where the group felt the trend should be in ten years.

Due to the previous discussion on the trends, the evaluation of each trend held no surprises. Each evaluation reflects the combined opinion and the intuition of the members of the study group.

EVENTS

The study group recognized that critical events could impact the sub-issue questions. A list of events was developed to answer the question "What events might occur which would significantly impact how we quantify and manage the personal, organizational, professional, and societal ethics of those for whom we maintain a responsibility?" From this list, the five most significant events were distilled by use of the Nominal Group Technique. Those five events are:

1. LEGISLATE ETHICS -- It was felt that if ethics, principles, values, and even morals became legislated,

TREND EVALUATION FORM

Subgroup: _____

TREND STATEMENT	LEVEL OF THE TREND (Ratio: Today = 100)			
	5 Years Ago	Today	"Will be" in 10 Years	"Should be" in 10 Years
Materialism	High		300	75
	Aver.	100	204.7	64.3
	Low		100	50
< Protestant Work Ethic	High		100	300
	Aver.	100	84.2	220.6
	Low		50	100
> Tolerance of Varied Ethics	High		300	100
	Aver.	100	178.4	63.6
	Low		100	50
Willingness To Attempt/Chance Compromise For Personal Gain	High		200	50
	Aver.	100	163.7	24.5
	Low		100	10
Ends Justifies The Means	High		100	75
	Aver.	100	96.8	62.2
	Low		50	50

this would have a definite impact on the sub-issues and would have substantial cross-impact on the trends. The sudden legislation of ethical considerations into law would eliminate the prerogative of having to establish levels of ethical behavior or issue position statements on acceptable patterns of behavior. Our ethical decisions would be made for us, values set, principles defined, and possibly even morals mandated.

2. SEVERE FINANCIAL UPHEAVAL -- Due to California's place as the sixth greatest financial system in the world, it is felt by the study group that the financial balance of the state's economy is a significant issue. Should an event trigger a dramatic and unexpected change in that financial structure, the impact on the forecasted trends could be catastrophic. The study group discussed the event to both extremes. Should the economy either flourish or disintegrate, the impact on the trends would be significant. It was felt that individual circumstances at the time of the event would direct the fate of many.

3. WAR - For the purposes of this research, this is defined as a war of consequence which would demand an overall commitment from the entire nation.

4. SEVERE MORAL & ETHICAL DETERIORATION - An event so radical that it would trigger an acceptance of the return to a "Sodom and Gomorrah" ideology or mentality, a state where anything goes and there is no regard for the beliefs or moral and ethical consideration of others. This event would

trigger a total reversal of the accepted principles, values, and ethics of society as we know them, and could be catapulted into existence by an election wherein more than fifty percent of the elected officials lose their office to be replaced by immoral and unethical liberals who managed to sway the voters by tremendous campaign resources. It could also be initiated by an investigation, the results of which cause fifty percent of the elected officials to lose their office due to ethics violations.

5. RESTORATION OR VICTORIAN ETHICS - The antithesis of Event #4. An event that would catapult society into a complete transformation, a conservative reversal of any and all liberalized views on morals, principles, values, and ethics.

To place the identified events in perspective with relationship to the anticipated probability and impact, the Event Evaluation Form was utilized and can be reviewed on the following page. Each event was computed by high and low ranges as well as an average. Discussion related to this exercise reflected that the participants held a high level of agreement as to the levels of impact that each event would have on the areas shown on the form. Also, the reasons that the conclusions were drawn showed a consensus of the group.

CROSS IMPACT ANALYSIS

It is recognized that as an event occurs, it will affect the probability of other events occurring. To distill the

EVENT EVALUATION FORM

EVENT STATEMENT	PROBABILITY			NET IMPACT ON THE ISSUE AREA (-10 to +10)	NET IMPACT ON LAW ENFORCEMENT (-10 to +10)	
	Year that Probability First Exceeds Zero	By 1994 (0-100)	By 1999 (0-100)			
Legislate Ethics	High Average Low	1989	50 28.7 20	60 34.1 20	+7 +4.8 0	+9 +7.3 +4
		1992	90 73.5 20	95 84.7 20	-10 -6.4 -2	-4 -2.1 0
			85 39.8 10	80 29.6 10	+9 +7.6 0	+8 +6.1 +2
Moral & Ethical Deterioration	High Average Low	1991	80 26.4 0	90 32.2 20	-10 -9.7 -9	-10 -9.7 -9
		1994	60 12.6 5	65 15.6 10	+10 +9.2 +8	+10 +9.8 +9

probability of events impacting each other, and impacting the trends, a Cross-Impact Evaluation form was used. The results of this exercise are recorded on the Cross Impact Analysis form which reflects a compilation of the data received from the individual group members. Based on the probability of events occurring as indicated in the Event Evaluation Form, this form shows the forecast of the events.

CROSS-IMPACT INTERPRETATION

Should any of these events occur, it would either increase or decrease the probability of other events and trends also occurring. In discussion, the study group felt that a minimal significant impact would be at least ten percent, therefore, the CROSS-IMPACT EVALUATION FORM on the following page, and the FORECAST OF EVENTS graphs reflect the significance of the levels of impact assigned to the events by the study group.

Event 1. (Ethics become legislated) Should the legislation of ethics become a reality, this is not seen as having any effect on the probability of financial upheaval or war. This event is seen as having an impact on ethical deterioration and would tend to reduce the probability of ethical deterioration from 26% to only 10%. Conversely, it would dramatically increase the probability of a restoration of Victorian ethics because the event is seen as one that would trigger an acceptance of society again being able to

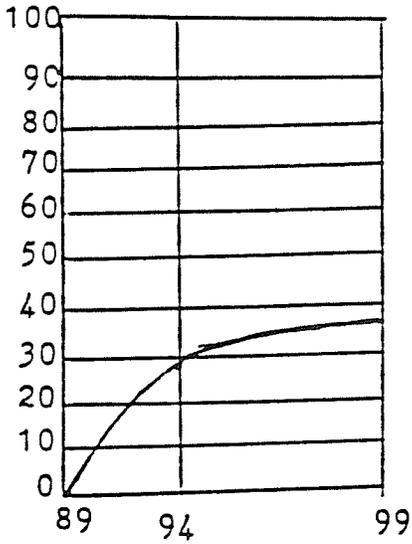
CROSS-IMPACT EVALUATION FORM

Suppose that this event actually occurred with this probability

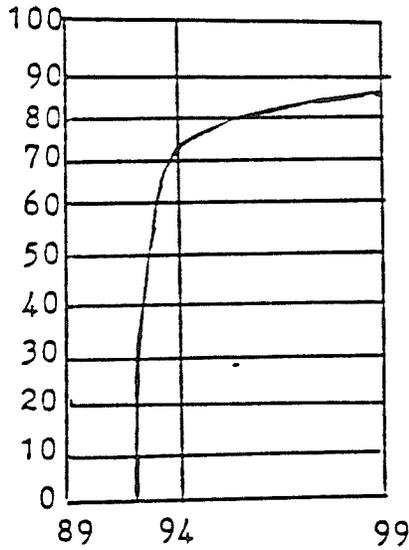
..... How would the probability of the events shown below be affected?

		TRENDS									
		Legislate Ethics	Financial Upheaval	War	Ethical Deterioration	Restoration of Victorian Ethics	Protestant Work Ethic	Tolerance of Varied Ethics	Compromis. For Personal Gain		
Legislate Ethics	29%	X	no effect	no effect	- to 10%	+ to 33%	+20%	-30%	-10%		
Financial Upheaval	74%	no effect	X	+ to 80%	+ to 41%	- to 3%	-10%	no effect	+30%		
War	40%	no effect	- to 34%	X	- to 16%	+ to 33%	+30%	-20%	-5%		
Ethical Deterioration	26%	- to 4%	no effect	no effect	X	- to 0	-60%	+50%	+70%		
Restoration of Victorian Ethics	13%	+ to 59%	no effect	no effect	- to 6%	X	+60%	-50%	-30%		

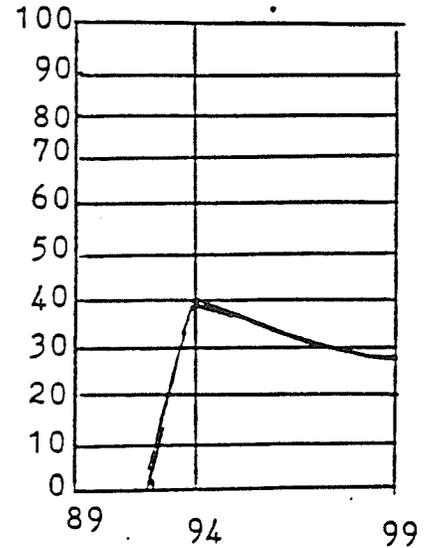
FORECAST OF EVENTS



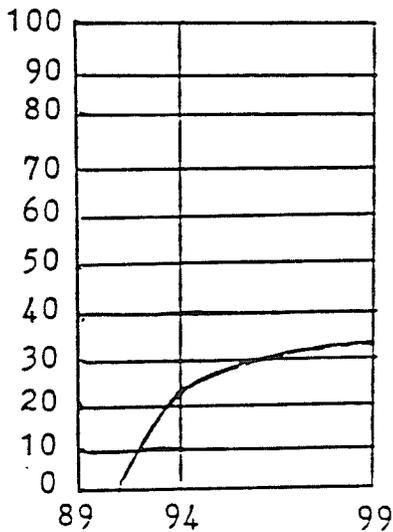
Event #1
(Legislate Ethics)



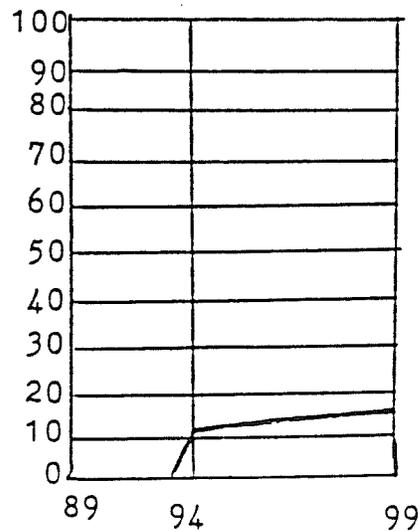
Event #2
(Financial Upheaval)



Event #3
(War)



Event #4
(Moral & Ethical
Deterioration)



Event #5
(Restoration of
Victorian Ethics)

govern individual ethics. This rationale would carry through the trends which are indicated on the chart and would affect the trends as shown.

Event 2. (Financial upheaval) Of all the events listed, financial upheaval is seen as having the greatest effect on the probability of war occurring. All members of the study group felt that the general feeling in the financial community is that war is good for the economy and that this would be hard to overcome. Should we experience this event, financial upheaval, the possibility of experiencing a war changes from a possibility to a probability. Financial upheaval is also seen increasing the potential for ethical deterioration due to a panic situation and the likelihood of individuals taking desperate measures in order to survive what they see as a desperate situation and rationalizing whatever steps they take to protect their assets. This impact probability also applies to how financial upheaval would affect any possibility of the restoration of Victorian ethics due to people doing whatever they need to do in a life or death survival situation. Along this same line, people will be less likely to maintain a Protestant work ethic in order to grasp what they can, and more likely to risk compromise for personal gain.

Event 3. (War) In the event of war, lacking other events to skew the results of this event, war was seen to reduce the probability of financial upheaval from 74% to 34%. This is because of the stability a war of

consequence is seen to lend to the financial stability of the economy. A war is also viewed as having a positive effect on the probability of ethical deterioration and on the restoration of Victorian ethics. The country in time of war is believed to be able to pull together and the attitude would be similar to that in WWII when the entire nation rallied around a common cause. For this same reason, war is seen to affect the selected trends by increasing the Protestant work ethic and reducing the tolerance for varied ethical beliefs and the incentive of compromise for personal gain.

Event 4. (Moral & ethical deterioration) Ethical deterioration, a breakdown of our societal principles, values, morals, and ethics, while extreme, would have a dramatic effect on the related trends and events. This event would almost negate the ability to legislate ethics and would reduce the probability of returning to Victorian ethics to 0. It would also greatly reduce the belief in the Protestant work ethic, would increase the tolerance for varied ethical beliefs, and would promote the compromise of ethics for personal gain.

Event 5. (Restoration of Victorian ethics) The effect of event #5, the restoration of Victorian ethics, would in each case have the opposite effect in a cross-impact analysis as event #4. The increase of traditional Victorian ethics would lead to a very real possibility of being able to legislate ethics and would almost eliminate

the probability of an event of ethical deterioration. This would also greatly increase the trend to a traditional Protestant work ethic, lower the tolerance for acceptance of varied ethics, and lower the incentive for compromise for personal gain.

It is interesting to note that when comparing event #4 and event #5, they are seen to impact the trend of tolerance to varied ethics to the same degree (50%), but of course in different directions. However, when we compare the effect of the events (#4 & #5) to each other, we see the belief emerge that it is the tendency of the bad to outweigh the good, or as one group member stated, one bad apple will spoil the whole barrel. We see this when we note that if ethical deterioration did occur, it would reduce the probability of any restoration to traditional Victorian ethics to zero. However, if the opposite occurs and we realize a return to Victorian ethics, this only reduces the probability of ethical deterioration to 6%. An interesting perception from the study group is realized and perhaps points to a phenomenon of human belief and behavior, that is, the nature of evil is perceived to be so all consuming that were a total ethical deterioration of principles, values, and ethics experienced, it would be nearly impossible to experience the restoration of Victorian ethics given the ethical environment that would exist.

From the Cross-Impact Evaluation form, we see that all of the events chosen have nearly the same potential to impact the other events as each event impacts five other trends or events. The only exception to this is the event of war, which impacts six categories, however only slightly decreases the potential for the compromise for personal gain trend.

SCENARIOS

A series of scenarios have been developed from the information accumulated thus far. The scenarios are used as integrating mechanisms. They are devices which enable us to bring together and synthesize large ideologies in speculated or anticipated futures that are difficult to visualize in any other context. The purpose for the development of scenarios is to project the identified trends and events into the future in an effort to view their relevance to the project issue in the 21st century, and make rational forecasts coincidental with their causes.

The three scenarios used in this research are

1. EXPLORATORY -- the "most likely" case scenario, used to describe the future outcome of current forces in motion.
2. NORMATIVE -- the "can be" scenario, which takes a moral or ethical stand on the final outcome and seeks to show that the future developments can be

linked back to the present.

3. HYPOTHETICAL -- the "what if" scenario, in which an alternative path is developed by manipulating the elements of the research.

EXPLORATORY - MOST LIKELY

In 1989, the speaker of the house was brought up on charges for ethics violations. He was removed from his position and the voters removed him from office in the next election. Politicians in both state and federal offices became fearful of the media as reporters searched for more ethics violations. Our politicians began to see a growing need to legislate ethical standards. The moving forces behind the legislation took a backseat to financial problems and the deficit increased. Soon we were having difficulty competing with the Asian and European production markets. By March of 1992, (Event 2) California had slipped financially from the position of the sixth largest financial power in the world, to facing deficits and being unable to generate additional resources. California's financial difficulties were confined only to that state, but the nation as a whole was also suffering serious financial difficulties. Our efforts to enhance our own financial position had created such tense relations with a South American competitor that we sent 225,000 U.S. troops to that country in January, 1993. This was done in a gesture

of support for a revolution there that we felt would put a more supportive government in power.

The war ended in November of 1993, after eleven months of fighting and at the cost of 72,000 American lives. While the country was more supportive of the South American war (Event 3) than it had been of Vietnam, there was still a public outcry of it being a political war. The war did return us to financial stability but many thought that political wars were inherently evil and that we have an obligation to be the moral leaders of the world.

New industries brought new corruptions in the public and the private sectors. We were again growing by leaps and bounds and everyone seemed to want a piece of the action. In 1994 (Event 1) the legislature passed laws intended to mandate ethical behavior but still we continued to move on a path toward moral decay. By October of 1995, Marcus B. Rudsworth, a professor at Notre Dame, published a book titled America, The Sodom and Gomorrah of the 21st Century (Event 4). This moving book seemed to awaken the American of the 19th Century. The common man, the rich man, and the political leaders of America stopped to take stock of ourselves, and to take note of how far we had gone. How did we get here? Where are we going?

We made a turn in our paths and began to go back to strong values and basic ethics. We never went back to

the Victorian ethics of the 18th Century but we did go back to basic, honest values that made this country the center of freedom for the world (Event 5).

NORMATIVE SCENARIO -- CAN BE

Chief Doright leaned forward on a fifty year old formica desk to turn on his computer to see what the day would bring. As he sipped a cup of coffee that tasted like it was older than his furniture, he knew what the computer would tell him. Officer Bart would be coming in at ten o'clock for a disciplinary review hearing. Ten o'clock would be the official start of the chief's regular five-hour work day but he came in early to review the investigation on Officer Bart. Bart had confiscated an illegal machine gun from a suspect and had kept it for his own personal use. Subsequently, he had lied on the report. This certainly seemed to be a straight-forward case.

Officer Bart reported with his attorney at quarter past ten. There were no apologies for his tardiness. Promptness has ceased to be a real consideration several years ago, and was not important in today's society. Attorney Pickapart, representing Bart, did all the talking. He argued that the machine gun was illegal for the suspect to possess and therefore it should never have been an issue of how Bart got it. He said that Chief Doright should have made this style weapon available to all officers because since the end of the South America war of 1993, all the returning vets brought

back enough of the illegal arms to flood the market anyway, but he realized why Doright couldn't really do right.

The financial upheaval of the early 1990's (Event 2) had forced the department to cut back dramatically on virtually all equipment purchases and severely cut personnel. Officers were forced to purchase most of their own equipment including their weapons and vehicles. The South American war (Event 3) had taught young men to go out and procure their equipment by whatever means they could. Officer Bart had served in the war and was only doing what he had been taught to do, get what he needed by any means that he could.

Chief Doright asked why the officer would lie when the truth is so important in this profession. Pickapart argued that truth is important only in court, and reminded the chief that the legislation passed in 1994 (Event 1) established ethics for government employees and mentioned truth only in public testimony. The false statements by Bart were necessary in order to obtain the gun and did not hurt anyone. Officer Bart's actions were typical of the ethical standards of the day (Event 4) and Chief Doright had no authority to impose an ethical standard. Attorney Pickapart also argued that the "New Ethics" movement, started by a book on moral and ethical decay in 1995, (Event 5) should have no bearing on the case against Bart, and that it would be years until there was any substantial change.

After continued argument, Bart and Pickapart left the chief to consider the outcome of the case. Chief Doright had

to advise them of his decision within two weeks, but then they had six months to appeal. He considered that with any luck at all, he would be retired by then.

HYPOTHETICAL SCENARIO -- WHAT IF

The war in South America (Event 3) was taking its toll on the fiber of the nation. The "Peace and Freedom" movement of the early 1990's had confused the issues of the war so badly that even the older generations of hard-line conservatives were hesitant about making a commitment to the support of the war. The philosophy of "no harm - no foul" had caused many to reassess their own personal ethical values and to allow a permissiveness to overtake society (Event 4) that would have appalled earlier generations.

Marcus Rudsworth's book America, the Sodom and Gomorrah of the 21st-Century, had been rejected immediately after its release in 1995, and the school of civil sciences, once very prestigious, had fallen into near bankruptcy. Rudsworth's attempt at restoring a traditional standard of ethics and values had failed miserably (Event 5). Consequently, all attempts to mandate an ethical standard for business or professional conduct, even in the public sector or to public officials, had been soundly rejected. Those elected officials who had attempted to bring a conservative order to society had been voted out of office in the past elections, leaving a long line of liberal and corrupt public officials in their wake (Event 1).

The consequences of the combined events was causing chaos in the financial community as fear and distrust mounted. Common business ethics were being ignored and fraud was causing the market to fluctuate wildly (Event 2). As circumstances continued there was a mounting expectation that we would be engaged in another war in a bizarre attempt to restore some semblance of order to the erratic economic state of affairs.

PART TWO

IMPLEMENTATION OF A STRATEGIC PLAN

STATEMENT:

Sun Tzu strategized, "The general who wins a battle makes many calculations in his temple before the battle is fought." The development of a strategic plan, followed by the inception of strategy for being able to quantify the personal, organizational, professional, and societal (POPS) ethics of those for whom we maintain responsibility; and management of the conflict between, them are reached only after much calculation in the temple.

As we explore the implementation of a strategic plan, we are really discussing two concepts. First, the ability to formulate a strategic plan and second, the means by which that plan is brought into fruition. This part of the research will deal with both of these concepts.

During Part One of the research, twenty-four trends were developed which would influence any decision process in the management of ethics for those with whom we maintain a responsibility. These trends were distilled to five which were felt to hold the greatest potential for impact, either positive or negative, by providing

either opportunities or threats. It was the decision of the study group to use these five trends in attempting to forecast the impact of the most likely occurrences on sub-issue questions.

The five trends were:

1. Increasingly materialistic society
2. Decreasing protestant work ethic
3. The increasing tolerance of varied ethic standards
4. Increased willingness to attempt/chance a compromise for personal gain
5. Increasing "Ends Justifies The Means" Attitude.

PROJECT METHODS:

The following methods are used in Part Two. The information obtained from these methods will be used to develop a strategic management process, and formulate a strategic plan and to bring that plan to fruition:

WOTS-UP ANALYSIS (Weaknesses, Opportunities, Threats, and Strengths Underlying Planning).

SAST (Strategic Assumption Surfacing Technique).

MODIFIED POLICY DELPHI (used in ascertaining the feasibility of alternative plans).

ORGANIZATION CAPABILITY AND RESOURCES

A study group of eight people was formed to determine

the strengths and weaknesses of the department, and to determine its capabilities. This group consisted of sworn and non-sworn personnel, all members of the management team. Each person in the group completed the "Capability Analysis" forms shown on the following pages. Each rating was reviewed and discussed and an average score was determined for each category. The total scores are noted on the rating forms.

In critiquing the ratings, it was discovered that this committee felt the department had the following strengths and weaknesses:

STRENGTHS

Supervisory Skills

Image

Training

Growth Potential

Turnover

Community Support

Management Flexibility

WEAKNESSES

Manpower

Technology

Money

Calls for Services

Supplies

Attitudes

Morale

A very favorable image enhances the noted strengths of growth potential and a very low turnover rate. Overall, the department is felt to be in a good position to handle areas of critical need and to have the support necessary to handle the tasks that are routinely assigned.

It was also interesting to note that the areas of weakness were discovered to be in the tangible areas of

CAPABILITY ANALYSIS: RATING

Instructions

Evaluate for each item, as appropriate, on the basis of the following criteria:

- I Superior. Better than anyone else. Beyond present need.
- II Better than average. Suitable performance. No problems.
- III Average. Acceptable. Equal to competition. Not good, not bad.
- IV Problems here. Not as good as it should be. Deteriorating. Must be improved.
- V Real cause for concern. Situation bad. Crisis. Must take action to improve.

Category	I	II	III	IV	V
Manpower			2	5	1
technology		2	1	4	1
equipment		1	6	1	
facility	1	2	3	2	
Money			2	5	1
calls for service		1	2	4	1
supplies			3	4	1
Management skills		2	4	2	
P.O. skills		1	5	2	
supervisory skills	1	3	4		
training	2	3	2	1	
attitudes			3	4	1
image	3	3	2		
Council support		2	6		
C.M. support		3	2	3	
growth potential	7	1			
specialties		1	6	1	
Mgmt. flexibility	1	6	1		
sworn/non-sworn ratio		1	1	5	1
pay scale		2	2	4	
benefits		4		4	
turnover	5	2	1		
community support	1	4	2		
complaints rec'd		2	4	2	
enforcement index		4	2	2	
traffic index			6	2	
sick leave rates		1	4	2	1
morale			3	4	1

CAPABILITY ANALYSIS: RATING 2

Instructions

Evaluate Each Item For Your AGENCY as to what type of activity it encourages:

- I Custodial - Rejects Change
- II Production - Adapts to Minor Changes
- III Marketing - Seeks Familiar Change
- IV Strategic - Seeks Related Change
- V Flexible - Seeks Novel Change

Category

TOP MANAGERS:	I	II	III	IV	V
Mentality Personality	_____	_____	_____	<u>8</u>	_____
Skills/Talents	_____	_____	_____	<u>8</u>	_____
Knowledge/Education	_____	_____	<u>2</u>	<u>6</u>	_____
ORGANIZATION CLIMATE:					
Culture/Norms	<u>1</u>	_____	<u>6</u>	<u>1</u>	_____
Rewards/Incentives	_____	<u>4</u>	<u>2</u>	<u>2</u>	_____
Power Structure	_____	<u>1</u>	<u>2</u>	<u>5</u>	_____
ORGANIZATION COMPETENCE:					
Structure	<u>1</u>	_____	<u>3</u>	<u>2</u>	<u>2</u>
Resources	<u>1</u>	_____	<u>1</u>	<u>5</u>	<u>1</u>
Middle Management	_____	_____	_____	<u>7</u>	<u>1</u>
Line Personnel	_____	<u>1</u>	<u>6</u>	<u>1</u>	_____

manpower and calls for services; however, of greater concern were the other two areas of weakness noted to be attitude and morale, which are equal on the capability analysis form. Discussion of this revealed that those who suggested low ratings for one also went with a low rating in the other as they were viewed as being intertwined and mutually destructive.

There was also noted what may, at first blush, appear to be a contradiction. The ratings reveal a high level of strength in the low turnover rate and growth potential, yet show a severe weakness in the areas of manpower and calls for services. There are, however, specific circumstances which account for this perception.

The department is currently in an accelerated-hiring mode. While the much-needed additional manpower has been approved, it is feared that it will take substantial time until the relief of sufficient manpower is realized. It is also realized that the burden (weakness) of calls for services will be relieved to a great extent once we can field more officers. Due to these circumstances, we can look forward to two of the weakness concerns being taken care of in the foreseeable future.

In the related "Capabilities Analysis: Rating 2" form analysis, we can recognize a general trend in the ability of management to deal with those areas identified as weaknesses. Management is generally seen

as being strategic and flexible. A group discussion revealed that it is a desired trait to effectively deal with organizational weaknesses. The only area identified where additional attention need be directed is to incentives and rewards. The rating form mentioned gives a good visual representation of this ideology.

STAKEHOLDER ANALYSIS

Using the central issue of "can personal, organizational, professional, and societal (POPS) ethics be quantified; and how can we manage the conflict between them?", a list of stakeholders was developed. For the purpose of staying within the parameters of this issue, the following definitions were established:

STAKEHOLDER: A person, persons, or organization who may be affected by or influence the issue.

ISSUE: What strategies will be considered in order to quantify personal, organizational, professional, and societal (POPS) ethics, and to manage the conflict between them? What alternative strategies may be considered to reach closure?

SNAIL DARTER: A non-obvious stakeholder who might cause a serious effect on the implementation of any phase of the program.

The following stakeholders were identified:

- Police management
- Police Association
- Dept. personnel unit
- City personnel unit

- Other police agencies
- Family members
- ACLU
- Police officers
- Employee rep. assoc.
- Legislative lobbyists
- Private attorneys
- Special interest groups
- Churches
- Gay/lesbian alliance
- Other public agencies
- Disaster preparedness
- Citizen review boards
- County health dept.
- Jail/Custody facilities
- P.O.S.T.
- C.P.O.A.
- Internal Affairs Unit
- Jewish Defense League
- City manager
- Hospitals
- S.P.C.A.
- Domestic violence serv.
- Non-sworn personnel
- Public defenders
- City mediators
- Police middle managers
- Elected officials
- District attorney
- Civil rights groups
- City ad-hoc committees
- Courts
- Substance abusers
- Educational institutions
- Private sector security
- Civil service commissions
- Coroners Office
- Private sector vendors
- I.A.C.P.
- Federal agencies
- Police academies
- City Hall
- City council
- Humane Society
- Child protective Services
- News media

The next task encountered was to distill this list of stakeholders to a critical mass who would have the greatest interest level when alternative strategies are formulated and the issue is addressed. It was the intent of the group to distill this critical mass not only to a manageable group, but also a group whos members would express the excitement towards the issue that would cause the policy makers the greatest concern. Those who would fit this category would form the critical mass of stakeholders and were decided after a great deal of discussion to be the following:

- Police Officers and Non-sworn Employees
- Police Management
- City Hall
- Special Interest Groups
- Civil Rights Groups

- Citizen Review Groups
- News Media
- Employee Representative Associations.

CRITICAL MASS STAKEHOLDER ASSUMPTIONS

POLICE OFFICERS AND NON-SWORN EMPLOYEES are all those for whom we maintain a responsibility in the quantification of personal, organizational, professional, and societal (POPS) ethics. And it is, or should be, for them that we carry the greatest burden. Their concerns, the quality of their lives, and their response to strategy alternatives, should be paramount in our strategy. Their POPS ethical concerns will vary greatly, and it is anticipated that they will respond to each strategy according to those concerns. For some, this response is anticipated to be positive and supportive. For others, the response will be negative and counterproductive.

POLICE MANAGEMENT groups are responsible for the construction, finalization, and initial implementation of the strategy alternatives to quantify the POPS ethics and to design methods of resolution between those ethical conflicts. The different levels of police management are very important and will fulfill a variety of roles in the transition portion of the process. It is felt that the first level of management (sergeant) is perhaps the most critical for it is at that level that

any policy will be sold or discouraged to the employees.

CITY HALL is that nemesis stakeholder through which the best-laid plans may go awry. It is decided that for the purposes of this research, this stakeholder is not in the arena of those for whom we maintain a responsibility of POPS ethics. However, the antithesis is not true. They may well take that responsibility towards us and view this concern with more of a watch-dog mentality than may be appreciated. Also, from their perspective, they will hold a responsibility for all the other stakeholders as well and feel a similar issue need, that is, to quantify the POPS ethics and manage the conflicts among all the groups.

SPECIAL-INTEREST GROUPS and the ad hoc sub-groups to which they give birth are very definite stakeholder groups. Their involvement can stem from nearly any imaginable quarter. Their concern can cross any boundary for which we can attempt to quantify POPS ethics. This can range from freedom of sexual preference, and lifestyle, to animal rights, pro-life/pro-choice coalitions, environmental concerns, religious issues, less-work/more-pay, etc. Their ad hoc position very often allows them to address an issue on which they have very little knowledge, form resolves which do not give remedy, and escape to allow circumstances to run their course yet they retain no responsibility for the

consequences. Thus, they earn the title ad hoc. they are viewed as a potentially very dangerous stakeholder, primarily because of their lack of responsibility and frequently self-serving motivation.

CIVIL RIGHTS GROUPS are seen as having the same assumptions as the above-listed special-interest groups.

CITIZEN REVIEW GROUPS are basically our watch-dog assigned by the community which we serve. If there is not an established contingent which fills this function, then there will be as soon as a controversial issue develops which affects any of the possible stakeholders in any issue. They develop tremendous power and are constrained only by the amount of support which they are able to generate over any specific issue. Experience has demonstrated that it is far better to have an established forum which fills this role in the community, rather than allow any ad hoc response. The danger in an ad hoc group filling this role is as applicable to citizen review groups as it is to special-interest groups, as noted in the previous paragraph. On the contrary, as an important stakeholder, this group can serve both the department and the community when functioning as a stable, responsible extension of city government.

NEWS MEDIA are an ever-present stakeholder with whom we are always concerned. In the past, the question would

arise "What do we do if the press finds out?" Today, it is never a question. The press will always find out. Not only will the press be aware of the circumstances, but it is an accepted fact of life that all media will be involved. Television no longer carries the mystique that it once held. Even the smallest of communities can expect to receive total media coverage should a significant public-interest issue arise. How is the issue reported, toward which camp is the news report biased, how accurate is the information which is reported? These are the questions which are of concern with this stakeholder.

EMPLOYEE ASSOCIATIONS are defined as any recognized group which maintains a responsibility for an employee, through which any employee can turn for redress on any issue. This stakeholder can be anticipated to become actively involved in the attempted quantification of POPS ethics. It is a dual responsibility. We as police managers maintain a responsibility for the same people for whom the associations maintain a responsibility. This responsibility is not easily shared under the simplest of circumstances. It becomes very difficult when dealing with the established issue.

An associate of mine also includes as a snail darter any "mystery group." Whenever we change anything, we affect someone else's environment. These groups may

materialize to resist such change. We have seen these ad hoc groups form in Riverside over a variety of issues. They form spontaneously and can become formidable opponents who are frequently successful.

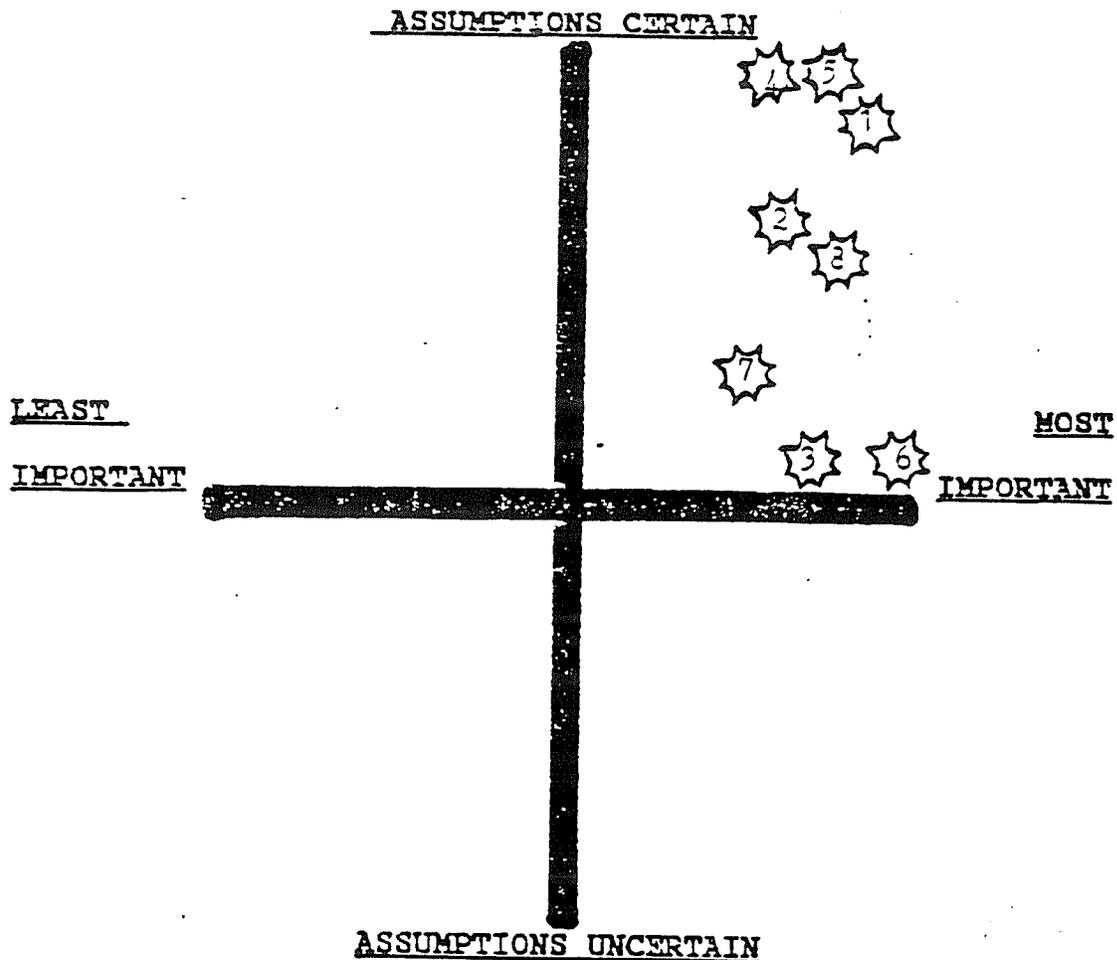
It is believed that each stakeholder will remain important to the issue and to our ability to quantify the POPS ethics and to manage any conflict. It is also recognized that each stakeholder will maintain a certain level of assurance that their assumptions on any issue are correct. For the purposes of being able to visualize these beliefs, a chart which reflects each stakeholder importance and assurance is diagrammed on the following page.

MISSION STATEMENT

In the development of a mission statement, it is necessary to prepare both a mission statement generic to California law enforcement and a mission statement specific to the issue of quantifying POPS ethics and managing the conflicts.

The mission of California law enforcement is to protect lives and property. To prevent crime and to enforce laws. To assist the public in incidents involving accidents, natural disasters, and other emergency situations.

The mission of California law enforcement, specific to



1. Police Officers and Non-Sworn Personnel
Assumptions very certain, very important
2. Police Management
Assumptions fairly certain, fairly important
3. City Hall
Undeterminable certainty, quite important
4. Special Interest Groups
Assumptions most certain, fairly important
5. Civil Rights Groups
Assumptions most certain, fairly important
6. Citizen Review Groups
Unbias certainty, potentially very important
7. News Media
Assumptions somewhat certain, somewhat important
8. Employee Associations
Assumptions fairly certain, very important

the issue of personal, organizational, professional, and societal (POPS) ethics is to maintain the highest possible level of integrity through the maintenance of principles, values, and ethics; to embrace these ideals from the highest levels of management and be consistently diligent to promote these ideals through all levels of our agency; to be diligent in the on-going training of all personnel in the area of ethics; and to hold a disciplinary standard to all levels who violate this sacred trust with a vision to only the purest integrity of everyone in law enforcement.

EXECUTION

The successful execution of a strategy is dependent on being able to focus on the issue. It is the task here to target the management efforts in the quantification of POPS ethics and the management of the conflict between those areas of ethical concern. To this end then, do we direct the invention of strategy and policy considerations.

Further rationale in this direction is that government integrity ultimately rests upon the personal integrity of public servants. Before undertaking measures to regulate the ethical behavior of others, public officials should consider the ethical basis of public service and experience the dilemmas which are encountered in setting

their own standards of ethical behavior.¹⁰

To this end, it is our task to develop strategy alternatives and methods to manage the issue that will satisfy all the criteria, be acceptable to the stakeholders, and be desirable and feasible to implement. The following list of strategies were developed which allow for the greatest flexibility in planning and meet all the above requirements:

Alternative Strategies

1. The development of a comprehensive, articulate, and understandable policy on POPS ethics to be mandated to all law enforcement agencies by a state commission.

2. Mandatory training on POPS ethics to all levels of the law enforcement community for the continued maintenance of their POST certification. This would include academy training as a prerequisite to employment.

3. The development of an INTEGRITY CHECKLIST which would have a number of questions to indicate the ethical climate of the agency in the clearly-defined areas of:

- A. Official policy considerations towards corruption
- B. Detection tools for unethical practices or corruption
- C. Management practices checklist to monitor the POPS ethics of the agency

¹⁰. Maintaining Municipal Integrity, Copyright 1978, University Research Corporation, Washington, D.C., pg.49.

- D. Elected and appointed officials, questions which will indicate unethical potential.¹¹
- E. Employee attitude checklist on POPS ethics as a maintenance-of-integrity tool.

Also, policy mandates to correct deficiencies by training, discipline, mandated performance, etc., when feedback indicates the necessity.

4. The initiation of mandatory drug testing for all employees at all levels and at spontaneous times within designated regular intervals.

5. An evaluation of POPS ethical potential of each pre-hire candidate, incorporated into the psychological evaluation to reflect the candidates suitability for employment.

6. Hypothetical ethical dilemmas to be presented to each employment candidate to be resolved in essay format, their answers to be evaluated as a reflection on suitability for employment.

7. A policy which would periodically solicit feedback on the perceived integrity of the department from the public. This feedback should be solicited from a variety of community representatives in a cross-section of lifestyles (Chamber of Commerce, Clergy, Taxi drivers, Homeowner association, Educators, White-collar professionals, etc.), and would be used to evaluate the ongoing ethical climate of the department. Should

¹¹. Maintaining Municipal Integrity, Copyright 1978, University Research Corp., Washington, D.C., Pg.63-68.

feedback indicate a deficiency in perceived integrity, a policy for correction would take effect.

The suggested policy statements were then rated using the Modified Policy Delphi process. This process rates the feasibility and the desirability of each strategy alternative based on the following criteria.

FEASIBILITY

Definitely feasible (DF), no hindrance to implementation. No R&D. No political roadblocks. Acceptable to the public.

Possibly feasible (PF), indication this is implementable, some R&D is required. Further consideration given to political and/or public reaction.

Possibly Infeasible (PI), some indication unworkable, some significant unanswered questions.

Definitely Infeasible (DI), all indications are negative, unworkable, cannot be implemented.

DESIRABILITY

Very desirable (VD), will have positive effect and little or no negative effect, extremely beneficial, justifiable on its own merit.

Desirable (D), positive effect and negative effects are minor, beneficial, justifiable as a by-product or in conjunction with other items.

Undesirable (U), will have negative effect, harmful, may be justified only as a by-product of a very desirable item.

Very undesirable (VU), will have major negative effect, extremely harmful.

For each alternative, there are 24 points possible for feasibility and 24 points for desirability (8 people x 3 points each = 24 possible). The results, totals, and averages are listed below.

1. Develop a mandated policy for POPS ethics:			
	Feasibility total	19,	Average 2.375
	Desirability total	19,	Average 2.375
	Combined totals	38,	4.75

2. Mandatory POPS ethics training:

Feasibility total	20,	Average	2.5
Desirability total	23,	Average	2.875
Combined totals	43,		5.375

3. Integrity checklist for awareness & policy:

Feasibility total	23,	Average	2.875
Desirability total	21,	Average	2.625
Combined totals	44,		5.5

4. Mandatory drug testing:

Feasibility total	16,	Average	2.
Desirability total	18,	Average	2.25
Combined totals	34,		4.25

5. Pre-hire psychological POPS ethics testing:

Feasibility total	21,	Average	2.625
Desirability total	22,	Average	2.75
Combined totals	43,		5.375

6. Pre-service hypothetical dilemma testing:

Feasibility total	18,	Average	2.25
Desirability total	21,	Average	2.625
Combined totals	39,		4.875

7. Community feedback of perceived integrity:

Feasibility total	23,	Average	2.875
Desirability total	22,	Average	2.75
Combined totals	45,		5.625

As seen in the above results, alternative #3 (integrity checklist and policy), and alternative #7 (community feedback of perceived integrity), received the highest totals for feasibility and desirability. However, alternative #2 (mandatory POPS ethics training), and #5 (pre-hire psychological POPS ethics testing), were very close contenders. And, of remarkable note, none of the alternatives were polarized, nor were they widely separated.

ANALYSIS

It is felt that the relatively high scores for both

feasibility and desirability, for all the strategy alternatives, reflects a high comfort level for the implementation of any of the alternatives. However, in an attempt to utilize the alternative with the most potential for success, alternative #3 -- the Integrity Checklist for awareness in each area with policy for deficiency correction, and alternative #7 -- Community feed-back on perceived integrity questionnaire with corrective measures for deficiencies, received the highest scores for both feasibility and desirability.

Both alternatives are seen as pro-active approaches with win-win potential. While the integrity checklist for awareness allows the monitoring of potential internal problems in POPS ethics, the community feedback evaluation will monitor the perception from the community on the POPS ethics of the organization.

ASSESSMENT OF STAKEHOLDER

The stakeholders were assessed using the identified assumptions which were discussed earlier. The assessment was plotted as to whether the stakeholder would be for, against, split (the stakeholder's investment, loyalty, desires or opinion and feelings would be divided and possibly conflicting), or neutral (the stakeholder would not have a significant investment or inclination) towards the alternative strategies. The resulting assessment is

illustrated on the following graph. The assessment was accomplished through group discussion by the study group formed for this purpose.

Alternative #3, Integrity Checklist for Awareness.....

Alternative #7, Community Feedback.....

STAKEHOLDERS:

Officers & Non-Sworn Employees	S	N
Police Management	F	F
City Hall	F	F
Special Interest Groups	F	F
Civil Rights Groups	F	N
Citizen Review Groups	F	F
News Media	N	N
Employee Representative Associations	S	S

F = For, A = Against, S = Split, N = Neutral

From this assessment, two interesting considerations become apparent. First, the stakeholders themselves will not have a great deal of disagreement over the use of either of the alternatives. Secondly, all of the stakeholders will buy into either strategy. The most difficult of the stakeholders are the Employee Representative Associations, which is split in their support on both the alternatives. The cumulative totals on the acceptance levels of the two alternatives is:

	(F)	(A)	(S)	(N)
Integrity Checklist for Awareness	4	0	1	3
Community Feedback of Integrity	5	0	2	1.

It is also important to note that in the discussion that followed the ratings and the totalling of all the

scores, the group was adamant in their support of two other alternatives, both of which have to do with training -- mandatory POPS ethics training through all levels, and pre-hire psychological POPS ethics testing.

RECOMMENDATION

From the accumulated data it is recommended that a strategy be developed and efforts be directed towards the accomplishment of strategy alternative #3, the integrity checklist for awareness, and alternative #7, the community feedback of perceived integrity. It is determined that the synthesis of these two strategies holds the greatest potential for a successful resolution of the issue, as the ideology of each complements the other.

It is important to develop a flexible time sensitive flow chart which will outline a five-year and ten-year plan. This flow chart will allow for the accumulation of staff, materials, reviews, and an analysis of the perceived success of the program. It would also insure that the basic needs (personnel, transportation, and communication) are satisfied and are available and not disruptive to the primary mission of the organization. This is critical so that service levels to the community are maintained. It would be an error to be so concerned with the ethics of the moment that we forget the service

to those who we are sworn to protect.

The first plan, the 5-year plan, would include direction and implementation. The 10-year plan would be concerned with maintenance, evaluation, up-dating of community concerns, and cross-training of all those involved with the program. This time frame would also be valuable for an audit as to the effectiveness of the strategy, and allow for necessary adjustments. It is also felt that the time parameters are realistic enough to give the strategy an opportunity for success.

ADMINISTRATION AND LOGISTICS

Administration is, of necessity, a departmental concern. The decision for implementation of strategy is held at the command staff level, with tactical considerations being delegated to division levels and carried out through line supervision. The administration of a very specialized program may incorporate the task-force approach -- that is, the assignment of specialists or those who have a high level of expertise in the field. This will enhance the probability for a successful program and engender a confidence level in those unsure of the potential outcome.

NEGOTIABLE STRATEGIES

It is essential within the negotiations for acceptance

of strategy alternatives to insure that the controls do not become uncontrollable. To push a negotiation for the "best" deal is recognized as an error. To be successful, each party should have some needs satisfied. Therefore, it is critical to our calculations prior to the battle, as Sun Tzu strategized, that we recognize the parameters within which we are willing to deal. Within those limits is the arena for battle. Beyond the arena are those items not subject to negotiation.

Strategy within the arena includes:

- Candidate criteria at the selection stage for participation in the program (eg. all employees may be tested for POPS ethics at the pre-hire stage, then negotiate for the frequency of the application of the integrity checklist),
- How much of the resulting information will be made available to the public and who will have access to the information,
- The actual instruments used, the checklist questionnaire, the feedback survey,
- Resulting corrective action (within limits),
- Intra-department/inter-agency participation for a varied and autonomous information pool,
- Any other variable that does not compromise the program and that can be agreed upon by the critical mass of stakeholders as well as the agency involved.

Those strategies which go beyond the set parameters of the negotiation arena include:

- Compromise of the primary mission statement. The existence of the agency is to satisfy a stated need within society. We must be able to protect lives and property and to assist the public. This function cannot be compromised or threatened.

- The acceptable standard resulting from the analysis of the information gathered cannot be compromised. To lessen the acceptable standard of POPS ethics is seen as counter-productive to the issue.

Because we are dealing with two policy alternatives we have both additional opportunity and additional jeopardy. Additional opportunity is that which allows the introduction of a broader range of "win-win" strategy for successful implementation of the strategy alternatives. This is applicable to all of the critical mass of stakeholders. A cafeteria selection of strategies can be offered which makes negotiation palatable and invites consensus opinions for strategy.

Additional jeopardy is realized from specific stakeholders who may feel threatened by the accumulation of ideas generated to a specific goal. Theirs is a secure world, unaccustomed to change (or accustomed to change directed to their selfish interests). We, as

change agents, by the manipulation of the two alternatives, have elected to challenge their world with a multiplicity of alternatives.

STAKEHOLDER ANALYSIS

Sun Tzu continues, "With whom lie the advantage derived from Heaven and Earth?...The general who loses a battle makes but few calculations beforehand."

To know with whom we will negotiate, and the limits to which we can take that negotiation, would concentrate a tremendous advantage in our court. To analyze this further, we need only look to the previously identified stakeholders and make a determination on their position based on the previous considerations of their concerns.

None of the stakeholders are felt to pose a serious threat to the negotiations. The only one which may pose a problem is an employee representative association. This stakeholder is felt to be "split", according to the previously noted analysis on the assumption of stakeholders.

It is felt that the employee representative associations would be split on both policy alternatives because they would have to represent the widest selection of a contingent, with more diverse needs, wants, and desires than any of the other stakeholders, and be held responsible, answerable to the group, more than any of

the other stakeholders in the critical mass.

THE NEGOTIATION FOR POLICY ACCEPTANCE

As we review the stakeholder analysis and view each individual stakeholder's concerns in conjunction with our parameters of negotiable strategy, it is apparent that a number of values, demographics, and attitudes come into play in any proposed negotiation strategy. Both alternatives are discussed simultaneously as a single entity, as the negotiation strategy is very similar.

Sun Tzu speaks of carrying out an attack with fire, of the dangers, the timing, the winds (influences), and the effects on ourselves. In a negotiation, we have started a confrontation with all the characteristics of fire. There is obvious risk (danger), timing is essential, external influences should be gauged, and always we must know our own limitations. To know our course and to go into the negotiation prepared to control and direct it is to win. To neglect our preparation or fail to control or direct the fire is to, again from Sun Tzu, "Court defeat...exposed to calamities...These are: flight; collapse; insubordination; ruin; disorganization; rout." For each stakeholder, because of their individual, and selfish (rightly so) interests, a negotiation strategy must be decided. To do less is to invite the calamities Sun Tzu described.

PRESENTATION OF ALTERNATIVES

For each of the stakeholders previously discussed, we can anticipate varied levels of enthusiasm about the implementation of the two alternatives, the integrity checklist for awareness and the community feedback of perceived integrity.

There are negotiation strategies, broad in concept, which are applicable to all the stakeholders and encompass both alternatives. These strategies include the recognition of hidden assumptions. It is less than productive to feel that any settlement in a negotiation has to be based on "right." We need to understand the different points of view and how a concept is interpreted, and maintain an attitude of compromise with a variety of possible solutions.

Each of the stakeholders has a firm and vested interest in the alternatives and therefore will apply their individual (and biased) needs to the enthusiasm in which they are willing to accept the alternatives. The needs for esteem and self-actualization are expected to be foremost in each of the stakeholders. This is not surprising when we understand that each representative player for each stakeholder is not an organization, but an individual within the organization, each with his/her own personal needs hierarchy. Each is struggling for success within his/her own core group. Each is selfishly

motivated, and most important, each is susceptible to personal considerations in the negotiations.

SPECIFIC INDIVIDUALIZATION OF NEGOTIATION

Descartes, in his paradox stated, "I think, therefore I am." The logic is irrefutable. One must exist to be able to think. The correctness of thought is secondary; the concept and reality of existence is proven by the thought itself.

This is not so simple in negotiation. Simple logic may in no way be a proof to fact. For each of the stakeholders, the "WHEN" strategy becomes extremely important. Timing for specific strategy is vital, and makes the "HOW AND WHERE" strategy possible. For each stakeholder the personalization of "I want to be your friend" or "We're all on the same team" can be the key to a final resolution because, remember, we are really dealing with people, not with the organization. This is furthered because the people are not the owners or actual stakeholders. They are hired to represent the company, and they will do so, to the best of their ability and personal interest.

Officers and Non-Sworn Employees

To this stakeholder, involvement will be a critical issue. If consideration is given to their ideas and

input, then the potential for success is greatly enhanced. Compromise to facilitate this is essential.

Police Management

This group has a split range of concern. One is their obligation to the agency as its leaders. The other is to their subordinates, for their best interests. A "win-win" here is available when the obvious advantages are pointed out. The integrity checklist for awareness of POPS ethics is only a management tool to make them better managers. The community feedback of perceived integrity is likened to a report card, and we want straight A's.

City Hall

Referred to earlier as the nemesis, city hall will readily accept both alternatives. Both of the alternatives are a check-and-balance as well as provide city hall with a control instrument in the event they need to satisfy a constituency.

Special Interest Groups

The negotiation strategy for this group is to make them aware that they will now have a process by which to address POPS ethics should they have a concern. The Community feedback for perceived integrity is ideally suited to this stakeholder.

Civil Rights Groups

This stakeholder will be for the integrity checklist

because it is in their realm of concern to watch-dog for those who have empowered their existence. The strategy for their immediate acceptance is to make them aware of the internal steps being taken to insure the preservation of POPS ethics.

Citizen Review Groups

Similar to civil rights groups, they are empowered to be the concern group for others. To this group, the community feedback of perceived integrity is paramount. This will be their barometer for trouble in the community and it is the enhancement of this strategy which will sway this stakeholder.

News Media

They are neutral to both alternatives and will support the alternatives as long as information is available to them -- not shared, but available. The issue of tact may well come into play here, and a sensitivity to the needs and desires of the other stakeholders needs to be considered. A complete openness would compromise the integrity of the program for the alternatives we will be willing to negotiate with other stakeholders.

Employee Representative Associations

As with the officers and non-sworn employees, this group will have to be shown the benefits to be derived from the two strategy alternatives. Again, involvement is critical to success and it would be advantageous to

compromise when possible in order to insure this group's support. As was mentioned earlier, they have the widest range of constituents to support and to answer back to, thus they may be one of the most difficult with whom to reach an agreement.

SUMMARY

The alternatives selected are designed to incorporate several of the problems which were noted in the scenarios, and are intended to focus our endeavors to move away from the potential occurrences. The "fine tuning" of the alternatives, with respect to the individual stakeholders is essential, and is covered in the transition plan. At this point in the research we have developed two viable alternatives:

- Integrity checklist for awareness
- Community feedback of perceived integrity.

However, as we move to the transition stage it is also important to remember that there were two additional alternatives which scored as very important:

- Mandatory POPS ethics training
- Pre-hire psychological POPS ethics training.

PART THREE

TRANSITION MANAGEMENT

STATEMENT:

"They have expected stability and have found none within themselves or in their universe. Before it is too late they must learn and teach others that only by brave acceptance of change and all-time crisis-ethics can they rise to the heights of superlative responsibility."¹²

The third objective of this research is to provide for a change, for we are, in fact, agents of change. As managers, this is perhaps the most difficult of our tasks because "Any change in whatever direction for whatever reason is strongly to be deprecated."¹³ The bottom line is that this is our responsibility. If it is a duty that we would rather ignore, then perhaps we are not in the position best suited for our talents. In this arena, the truth really rings clear, "The agent of change has the enmity of those who gain most from the status quo, and only the lukewarm support of those who will benefit from the change."¹⁴

12. Helen Keller: The Open Door, Doubleday.

13. ANONYMOUS: Credited to "A Duke of Cambridge"; quoted by Adlai Stevenson, Harper's Magazine, Feb., 1956.

14. "The Prince", Machiavelli, 1450.

CRITICAL MASS

The critical mass has been identified as those stakeholders who have the greatest potential to impact the issue of the management, quantification, and reconciliation of POPS ethics. It is coincidental to the success of the implementation of the two alternative strategies (Integrity checklist for awareness & Community feedback of perceived integrity) that the transition be smoothly controlled. It then becomes necessary to identify exactly where these stakeholders now stand on the alternatives and where we would prefer them to be to insure success of the transition management process. This is visually noted in the chart below which identifies where the person's commitment is (X), and where it should be (O):

COMMITMENT PLANNING CHART

	Blocker	Let it Happen	Help it Happen	Make it Happen
Key Players:				
Officers & Non-sworn		X	O	
Police Management			X	O
City Hall		XO		
Special Interest Groups		X	O	
Civil Rights Groups		XO		
Citizen Review Groups		X		O
News Media		X	O	
Employee Rep Assoc.		X	O	

This critical mass is now discussed individually and their commitment examined in more detail.

The officers and non-sworn employees can sit back and

let it happen; however, this would not facilitate the effort and, in fact, could become dangerous as we look at the efforts needed by the employee representative association. This group would be most affected by educational intervention and an understanding of the benefits to be derived for their chosen profession. This can be accomplished through the involvement of the employees. They can be made responsible for the educational training and the awareness of the program, both within the department and in selling the plan to other related agencies and the citizens.

Police Management serve a crucial role in the potential for a successful program. As seen on the commitment planning chart (page 67), this group is viewed as now being in a position to help it happen and could easily be in the position to make it happen. As the managers and the role models, they are the guiding force responsible for directing the change. Without this commitment, none will rise to the "heights of the superlative responsibility." They can help it happen, or make it happen. It is desirable to have them make it happen. policy considerations are an important ingredient in this transition; however, a complete attitude of acceptance and a desire to see it succeed is important. It is felt that the best way to realize this transition is to make this group an integral part of the transition.

City Hall, the nemesis. City Hall will let it happen. If successful, they will claim at least a portion of the credit. If an embarrassment or failure, they will share none of the responsibility. They will let it happen and that is right where they can do us the most good, out of our way.

Special Interest Groups are seen as letting it happen unless it affects their special interest. They can be a valuable ally and can be recruited with an understanding of the value the two alternatives can have in maintaining a desirable POPS ethics level as a role model in the community.

Civil Rights Groups are seen as nearly an inactive stakeholder here. They have little to gain by helping it happen but could be criticized if they do not let it happen. They will probably refrain from involvement.

Citizen Review Groups can be a minimally involved part of the resolution and just let it happen, or they can become a very active motivating force which causes some strategy alternative to happen as a control measure. It is our task to direct this energy to a positive and supportive role in the transition. Role modeling would be an effective strategy with this stakeholder. The ideology is honorable. They will appreciate the proactive approach of keeping our own house in order. Involvement is the key ingredient here. It is to our

advantage to keep them informed and to be an active part of their program.

News Media will let it happen but could well help it happen by their reporting methodology. The awareness of POPS ethics concerns brings with it a human interest story that rivals the headlines. While others are getting caught dirty, here is a police agency making sure it maintains the highest standards for the community!

Employee Representative Associations are critical to the issue. As discussed previously, they will be the most vocal at the onset. They have a constituency to answer to and be responsible for. Should they choose to deprecate the alternatives, then they will be a blocker, and have the distinction of being the only blocker anticipated. Should they choose to support the strategy they can not only let it happen, but even help it happen by their acknowledged support.

STRUCTURE

"Whoever would change men must change the conditions of their lives."¹⁵ If we dare attempt to change the conditions of the lives for whom we maintain a responsibility, we had best offer a tangible vehicle by which we can offer that change in an understandable and reasonable form -- not attempting to set a resolve in concrete, but

¹⁵. Theodor Herzl: Diary.

rather to ensure a flexible, yet sound, beginning to the final product. To accomplish this, the following instruments are proposed to specifically address this concern: (At this point in the research, we will consider each alternative individually. For convenience of reference, they are repeated in their entirety.)

- Alt.#3, The development of an INTEGRITY CHECKLIST which would have a number of questions to indicate the ethical climate of the agency in the clearly defined areas of:
- A. Official policy considerations towards corruption
 - B. Detection tools for unethical practices or corruption
 - C. Management practices checklist to monitor the POPS ethics of the agency
 - D. Elected and appointed officials, questions which will indicate unethical potential
 - E. Employee attitude checklist on POPS ethics as a maintenance-of-integrity tool.

Broken down to the above areas, the questions are designed to be diagnostic indicators of the POPS ethics which are held in the agency. The questions are reflective of a survey designed for this study and are located in Appendix A-16. Obviously, this questionnaire is designed as an in-house tool, to be answered within the organization. To accomplish this, the "natural leaders" should be chosen to oversee the program. This would lend an element of trust and credibility that may be struggled for if another group were managing the program.

16. Maintaining Municipal Integrity, Copyright 1978, University Research Corporation, Washington, D.C., pg.65.

Alt.#7, A policy which would periodically solicit feedback on the perceived integrity of the department from the public. This feedback should be solicited from a variety of community representatives in a cross-section of lifestyles (chamber of commerce, clergy, taxi drivers, homeowner associations, educators, white-collar professionals, etc.), and would be used to evaluate the ongoing ethical climate of the department. Should feedback indicate a deficiency in the perceived integrity, a policy for correction would take effect.

Located in Appendix B, which was developed expressly for this research, the questions directed to ascertain this feedback are intended to be distributed to the public. An analysis would then determine the perceived integrity of the organization. Subject to this being discovered, corrective policy considerations would take effect to address very specific areas of concern. As an example, if there is a widespread perception that it would be easy to bribe an officer to get out of a ticket, this specific problem or perception would be addressed.

The structure best suited to the management of this transition model is the "diagonal slice", a representative from each level within the organizational structure of the agency. It is anticipated that this selection would not only give an opportunity to representation throughout the organization, but would also allow for a more trustful relationship from all those involved and lend to the credibility of the program. This method would give a perception of fairness and overall consistency. The "official body"

would also be an adequate approach to the management of this alternative.

MANAGING THE PROCESS

To manage the process, we need to manage three separate functions:

1. Manage the Change
2. Manage On-Going Operations
3. Manage Development of New Leaders For The Future.

Most structure and resources are designed to do #2 well, then we add #1 & #3 and it overwhelms the process. Most changes fail because #1 & #3 fall through the cracks in time of crisis because all effort is directed to #2. This is why the selection of structure to manage the change is vital to the success of the program.

RESISTANCE MANAGEMENT

To ascertain if the organization is ready for the change, the following equation should apply:¹⁷

$$C = (ABD) > X$$

C = change
A = level of dissatisfaction with status quo
B = desirability of end state
D = practicality of the change
X = "cost" of change

From this simple equation, we can understand that

17. Organizational Transitions, Beckhard & Harris, Addison-Wesley Pub., 1987, Page 98.

factors A, B, and D must outweigh the perceived costs (X) for change to occur. If any of the main players are not sufficiently dissatisfied with the present conditions, or do not want a change or end state circumstances, or are not convinced that it is possible to accomplish the goals, then the cost (X) is too high and the resistance to the change will be keen.

READINESS ASSESSMENT

It is also necessary to determine the readiness for the change. Again, a simple equation serves to illustrate the readiness for change:

$$\underline{C = A \times B \times D}$$

C = Likelihood that change will occur
A = Level of dissatisfaction with status quo
B = Existence of clear goals
D = Perception that goals are attainable.

The likelihood that change will occur is in direct relationship to the other factors compounding the circumstances which will force that change.

From the readiness assessment we can surmise that the change will indeed occur:

A. There is given dissatisfaction with the status quo, or at least a watchful eye given to the monitoring of POPS ethics. For the issue herein presented this is felt to satisfactorily meet this requirement.

B. Clear goals do exist and are presented in the alternative strategies.

D. The practicality of the change is a very positive consideration in this readiness assessment. It is considered that it would be difficult if not impossible to argue against the issue, that is, the quantification of POPS ethics.

IMPLEMENTATION SUPPORT

To recruit sufficient support and insure that the management of the process is complete we need to assign direct obligations and direction to those responsible for every portion of the program.

Responsibility charting is a valuable tool for the ability to recognize need and assign individuals to specific task functions. Basically a plan on how you are going to accomplish a task and who is going to accomplish each portion of the task, responsibility charting allows a visual representation of the process. It also allows for a way to communicate to a new person or a replacement exactly where we are in the program, if they need to step in to fill a vacancy.

A responsibility chart is simply a two-axis graph. On one axis are the players. On the other axis is each task, decision, or action. For each task, a player is assigned a responsibility (only one per task per

player). The responsibility is either:¹⁸

R = Responsibility (not necessarily authority)

A = Approval (right to veto)

S = Support (puts resources towards)

- = Irrelevant to this item.

There are some ground rules for maintaining this chart.¹⁹ No box may contain more than one letter. No more than one "R" may exist for an activity. The "R" should be assigned first. Avoid assigning too many "A's", as this will lead to greater difficulty in reaching a decision.

SUMMARY

"It is demonstrable that many of the obstacles to change which have been attributed to human nature are in fact due to the inertia of institutions and to the voluntary desire of powerful classes to maintain the existing status."²⁰ When John Dewey wrote those words, he probably never realized how immortal this and similar ideology would become. Even the antithesis has become common; ie., people don't like change.

To both statements I disagree.

18. Organizational Transitions, Beckhard & Harris, Addison-Wesley Pub., 1987, Page 104.

19. Ibid. Page 106.

20. John Dewey: Monthly Review, March, 1950.

From this research, I have come to believe that there are factors which dictate how and if change will be accepted, and that it is those factors alone which dictate how people accept the transition. It is the mismanagement of transition that causes institutions, powerful classes, and people to reject change.

CONCLUSION AND RECOMMENDATIONS

"Quo custadiat, Custadios Ipsos?"

Or, who will guard the guards themselves? The answer is available. It is we ourselves who are charged with that responsibility. To guard the personal, operational, professional, and societal (POPS) ethics of those for whom we maintain a responsibility is a charge of tremendous magnitude and potential. I am proud of the research methodology and subsequent resulting ideology that has led us to a point at which I feel confident we can manage the issue of being able to manage and quantify the POPS ethics of those for whom we maintain a responsibility. One of the reasons that I feel this subject matter is so vital is that I honestly believe that we tend to attack POPS ethics and any problems that surface with a knee-jerk philosophy...or, if it ain't broke don't fix it...or, if it surfaces, bury it...or anything else that comes to mind, but mostly, don't plan for it. The short-sighted approach to this issue can be devastating to anyone or any organization who may violate a perceived ethic, and I do mean perceived. Unless we quantify and establish what is expected and where our strengths lie,

we are almost certain to run a collision course.

Also, unless we have identified our strengths, weaknesses, stakeholders, strategy, and other essentials to formulating a transition, we will almost certainly deal with each incident from our hearts, rather than with our heads. Again, knee-jerk philosophy. Another example of this danger was posed in a question to Marilyn Savant when she was asked "What do you do when your emotions are at war with your intellect?". She answered, "It has been my experience that when my intellect and my emotions disagree, if I act on my intellect, my emotions will follow. With most things in life, what is good eventually will feel good, but what merely feels good eventually feels bad."²¹

My final recommendations could be many, but for the sake of the readers sanity let me refer you, once again, to the suggested strategies:

1. The development of a comprehensive, articulate, and understandable policy on POPS ethics to be mandated to all law enforcement agencies by a state commission.

2. Mandatory training on POPS ethics to all levels of the law enforcement community for the continued maintenance of their POST certification. This would include academy training as a prerequisite to employment.

²¹. Marilyn Savant, Ask Marilyn, Parade Magazine, March 12, 1989, Page 16.

3. The development of an INTEGRITY CHECKLIST which would have a number of questions to indicate the ethical climate of the agency in five clearly defined areas.

4. The initiation of mandatory drug testing for all employees at all levels and at spontaneous times within designated regular intervals.

5. An evaluation of POPS ethical potential of each pre-hire candidate, incorporated into the psychological evaluation to reflect the candidate's suitability for employment.

6. Hypothetical ethical dilemmas to be presented to each employment candidate to be resolved in essay format, their answers to be evaluated as a reflection on suitability for employment.

7. A policy which would periodically solicit feedback on the perceived integrity of the department from the public. This feedback should be solicited from a variety of community representatives and should there be a deficiency indicated, a policy for correction would take effect.

I honestly believe that each one is excellent in its own right and would be a viable consideration for any agency to use in the management of POPS ethics. As was indicated earlier in the text, there has all along been strong support for several of the alternatives and much of the research and the resulting methodology would be

equally applicable to many of the alternatives. From this humble beginning, though, I think that whoever would wish to apply another alternative need only plug in the applicable resources and massage the process to fit their tailored needs.

APPENDIX A

INTEGRITY CHECKLIST

DIAGNOSTIC INDICATORS

A. OFFICIAL POLICY TOWARDS CORRUPTION

YES NO ???

In your jurisdiction, do statutes and ordinances define and forbid bribery, extortion, and other forms of official misconduct?

Does your department have a code of ethics?

If so, is that code of ethics an official part of the department manual of regulations?

Does the code of ethics clearly specify what conduct is desirable and what conduct is not?

Are these rules applicable to all employees?

Does your agency have some manner of manual of rules and regulations?

Is each person provided a copy of that Manual?

Is the manual applicable to all employees?

Does the manual forbid cash payments, gratuities, free meals, discounts from merchants, conflict of interest business dealings?

Does the manual forbid conducting personal or private business on company time?

Do rules forbid using company equipment or material, or any other resources for personal or private business?

Does the manual forbid engaging in outside business or employment which may conflict with your official duties?

Does the manual forbid outside employment or business in which there may be a conflict of interest with your duties or responsibility to the department or jurisdiction?

	<u>YES</u>	<u>NO</u>	<u>???</u>
Are official representatives of the department forbidden from representing private interests when dealing with public agencies or with businesses with which they have had previous contact?	---	---	---

Is everyone who is restricted by the manual of rules and regulations, regularly reminded of what is expected of them and of their ethical responsibility to the agency/jurisdiction?	---	---	---
--	-----	-----	-----

Is there an established system for detecting ethical violations?	---	---	---
--	-----	-----	-----

Do the detected incidents result in appropriate correction or discipline?	---	---	---
---	-----	-----	-----

Is this correction or discipline applicable to everyone in the agency?	---	---	---
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Consider now that a "NO" answer to any question could be an indication of a deficiency and require further investigation. It may also indicate that your agency does not have the tools necessary to maintain the personal, organizational, professional, and societal (POPS) ethics which you require.

B. DETECTION TOOLS

Are there laws which require employees to disclose conflict of interest?	---	---	---
--	-----	-----	-----

Are officials or employees required to disclose knowledge of or contacts with companies or their representatives for whom the employee holds a responsibility or maintains an authority?	---	---	---
--	-----	-----	-----

Are all employees required to report an official financial disclosure statement listing all assets, debts, liabilities, investments, and outside employment?	---	---	---
--	-----	-----	-----

Is this disclosure applicable to all employees, officials, government workers, and anyone else whom may be investigated by your agency?	---	---	---
---	-----	-----	-----

Are these disclosure records available for inspection by the public or news media?	---	---	---
--	-----	-----	-----

Are there records kept of all investigations, actions, or allegations?

YES NO ???

Are there records maintained of all transactions or decisions which may be vulnerable to the influence of unethical behavior or corruption?

Consider that a "NO" answer in this category is a strong indication of a deficiency.

If the answer to these questions is "YES", then you may want to further consider the following questions.

Does your jurisdiction have "sunshine" laws which open all meetings to public participation and observation?

Are there "freedom of information" laws which guarantee public access to official records and reports?

Is there an established complaint procedure to take complaints or inquiries from the public and investigate them?

Are the complainants later advised of any action taken or the status of the investigation?

After reviewing this section, consider if your jurisdiction has the tools necessary to detect corruption or any other violation of POPS ethics.

C. MANAGEMENT PRACTICES

Is the background information on candidates for positions which may offer an opportunity for corruption complete and is it verified?

Does in-service and pre-service training cover the expectations of POPS ethics requirements?

Is training reinforced through regular awareness programs, posters, or other reminders?

Is there a code of conduct/code of ethics?

Is this code applicable to all?

Is the code enforced?

Are all employees suspected of an ethics violation immediately put on suspension or administrative leave, with pay, until the investigation is completed? **YES NO ???**

Is there a check and balance system in effect which mandates the actions of all to be reviewed by a superior position/person.

Are decisions recorded and kept in a permanent file so that review is possible at a later date?

Do the regulations provide for discipline for failing to provide answers about decisions, the disclosure rules, or public information?

Are there regulations which provide for discipline for failing to report observed corruption or a violation of POPS ethics?

D. ELECTED AND APPOINTED OFFICIALS

In considering a person for an appointed position, is information about their record and anything to do with POPS ethics a factor in that decision?

Are candidates or appointees given an orientation on POPS ethics so that they do understand what is expected?

Do officials encourage public participation in the decision making process?

Are persons in these positions required to respond to questions from the public or other officials, or from the media?

Are their activities monitored?

Are questionable activities reported to the public?

Is an outside agency asked to conduct the investigation when corruption or unethical conduct is suspected?

Are formal criminal charges brought against the people responsible when warranted?

When convicted, are the penalties substantial?	<u>YES</u>	<u>NO</u>	<u>???</u>
	_____	_____	_____

E. EMPLOYEE ATTITUDE ON POPS ETHICS

Is there a process in place to evaluate the POPS ethics of the employees?	_____	_____	_____
---	-------	-------	-------

Does this process include <u>all</u> employees?	_____	_____	_____
---	-------	-------	-------

Are breeches of POPS ethics generally frowned on by most to the employees?	_____	_____	_____
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Is the commission of a corrupt act made general knowledge?	_____	_____	_____
--	-------	-------	-------

Is a violation of POPS ethics made public?	_____	_____	_____
--	-------	-------	-------

Are minor gratuities generally frowned on?	_____	_____	_____
--	-------	-------	-------

Is there an general expectation that violations will be punished?	_____	_____	_____
---	-------	-------	-------

Does that expectation include prosecution?	_____	_____	_____
--	-------	-------	-------

Are these expectations accepted favorably?	_____	_____	_____
--	-------	-------	-------

Do employees abide by established POPS ethics voluntarily?	_____	_____	_____
--	-------	-------	-------

Do employees abide by established POPS ethics because they are mandated?	_____	_____	_____
--	-------	-------	-------

Are minor violations of law tolerated by the employees in general?	_____	_____	_____
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Are minor law violations tolerated by a few employees?	_____	_____	_____
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After a review of the responses, a decision should be made as to whether there is a concern that the highest standards of POPS ethics are being adhered to.

APPENDIX B

COMMUNITY FEEDBACK ON PERCEIVED INTEGRITY

DIAGNOSTIC INDICATORS

	<u>YES</u>	<u>NO</u>	<u>???</u>
Will an officer take a small bribe to not give a traffic ticket?	___	___	___
Do officers accept free coffee at restaurants?	___	___	___
Do officers get discounts on meals at restaurants?	___	___	___
Do officers get free meals at restaurants?	___	___	___
Can I pay someone to get hired on the police department or for any public job?	___	___	___
Do officers actively look to suppress crime?	___	___	___
Are the police officers lazy?	___	___	___
Do you see police officers spending too much time on breaks?	___	___	___
Do you often see a police car parked at the same location for the same periods of time?	___	___	___
Do you feel that the laws are equally enforced to all citizens?	___	___	___
Do police officers give other police officers traffic tickets?	___	___	___
Will the police department prosecute a police officer for a minor violation of law?	___	___	___
Is there a "quota system" for traffic tickets?	___	___	___
Do police use excessive force on the public when making an arrest?	___	___	___
Do police make false statements in their reports in order to help insure a conviction?	___	___	___
Do police officers try to "pick up" dates when making contact with the public?	___	___	___

Do police appropriate evidence or confiscated property for their own personal use?

Do police use confiscated property for their own (police) use?

Do police use company time for personal use?

Do police officials take bribes for favorable recommendations or reports of character?

Do police officials take gratuities for making specific rulings on environmental reports, developer reports, or other reports for a private business or city contractor or vendor?

Do you feel police officers abuse alcohol?

Do you feel police officers have a drug abuse problem?

Is there any area of favoritism shown by the police to a special interest group of citizens?

Is there any other area of concern you have for the integrity, ethical, or moral character of your police department?

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