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BARRICADE/HOSTAGE SITUATIONS...

A LIFE AND DEATH DILEMMA, THE FUTURE RESOLUTION

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An Independent Study

By

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

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

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

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

WHAT WILL BE THE STATUS OF LAW ENFORCEMENT
MANAGEMENT OF BARRICADE/HOSTAGE SITUATIONS
BY THE YEAR 2002?
(Specifically in Orange County, CA)

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Executive Summary

SECTION I - INTRODUCTION/BACKGROUND

On August 1, 1966, Charles Whitman, a former Marine Corps sharpshooter killed 15 people and wounded 31 others at the University of Texas at Austin. Law Enforcement found it necessary to evaluate its ability to handle violent situations. As a result, Special Weapons And Tactics (SWAT) teams were formed.

With the innovation of SWAT came an ever increasing frequency of armed standoffs known as "barricade/hostage situations." The successful and safe resolution of these situations is one of the most difficult and dangerous challenges facing an incident commander. These incidents present great potential for the use of deadly force and receive intense public scrutiny. The ability to protect lives, capture perpetrators and save property is a source of great debate and concern.

SECTION II - FUTURES STUDY

The researcher studied and analyzed what the status will be of law enforcement's management of the barricade/hostage situation by the year 2002. The affect and impact of high tech non-lethal weapons development, the affect of various psychological diffusion techniques in the hostage negotiations area and the level of force use acceptable in the situation were studied to further define the paper.

An extensive review of literature and numerous personal interview were included in the research. Through that process, a picture of law enforcement's current management was derived. Additional research provided a number of trends and events that could influence barricade/hostage management in the future.

Trends and events were identified and evaluated. Trends include: 1) Military reductions result in law enforcement high technology weapons development; 2) Recession/budget cuts affect SWAT; Various psychological diffusion techniques; 4) Civilian review boards monitor and control police tactics; 5) Privatization of SWAT; 6) Legislative bills relative to use of force; and, 7)

Gang warfare affects public support for use of deadly force. Events include: 1) Judge orders jail population cap throughout state; 2) Police robot introduced; 3) Civilian HNT law passed; 4) Subliminal suggestion technique to diffuse barricade/hostage situations introduced; 5) Court limits use of deadly force in barricade/hostage situations; and, poor hnt results in 100's dead in prison riot.

Three scenarios were developed, based on the forecasted data. They include Exploratory "Surprise Free", Hypothetical "Worst Case", and Normative "Favored and Attainable."

SECTION III - STRATEGIC MANAGEMENT

An analysis of the external environment and internal strengths of the County of Orange was conducted. This analysis identified a number of stakeholders and snaildarters. Policies which could facilitate attainment of the normative scenario were identified. Three of the policies were selected as being most desirable for attainment of objectives:

A) Selection of a county wide high technology identification, research and development committee.

B) Selection of a county wide task force to identify alternative funding and procurement methods to obtain high-tech equipment for all agencies within Orange County.

C) Establishment of a statewide SWAT training/technology/tactics database that includes psychological diffusion development and information.

Using these policies, a strategic management plan was devised to facilitate the successful and safe management of the barricade/hostage situation by law enforcement, specifically in Orange County.

SECTION IV - TRANSITION MANAGEMENT

A transition management plan was developed which included identification of the critical mass and an evaluation of individual critical mass member's commitment level.

The transition management team was identified, including the selection of a large department SWAT commander as the project manager. Responsibility charting, milestone recognition, question/survey, organizational confrontation meetings and conflict management are some of the implementation technologies discussed as possible systems for managing the change process.

SECTION V - CONCLUSIONS, RECOMMENDATIONS
AND FUTURE IMPLICATIONS

Law Enforcement can expect to have a variety of non-lethal weapons and devices as well as psychological diffusion techniques available for managing the barricade/hostage incident in the future.

Alternative funding, technological development cooperation, public support, public scrutiny and civil liability will all affect law enforcement's success in the barricade/hostage incident. Likewise, information on training, tactics and techniques could further enhance the management of such incidents.

Two areas were identified as legitimate topics for future study: 1) The legal ramifications of the research and development of psychological diffusion/subliminal suggestion; 2) The liability of a law enforcement coalition's involvement and procurement of various technologies and systems.

Section I ** Introduction/Background

A Study Of The Barricade/Hostage Situation.

Section II ** Futures Study

What Will Be The Status Of Law Enforcement Management Of
Barricade/Hostage Situations By The Year 2002?
(Specifically In Orange County, CA)

Section III ** Strategic Management

A Plan For The Successful And Safe Management of
Barricade/Hostage Situations.

Section IV ** Transition Management Plan

A Discussion Of The Critical Mass And The Transition
Management Diagram For The Implementation Plan
To Successfully Manage The Barricade/Hostage Situation.

Section V ** Conclusions, Recommendations

Future Implications

Barricade/Hostage Today --- Barricade/Hostage Tomorrow
Accepting The Challenge --- Seeing The Future

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Section I

INTRODUCTION/BACKGROUND

A STUDY OF THE
BARRICADE/HOSTAGE SITUATION

INTRODUCTION/BACKGROUND

INTRODUCTION The formation of specially trained and well equipped teams of sharpshooters first occurred in American military history during the Revolutionary war. Captain Daniel Morgan used sharpshooters with special Pennsylvania-Kentucky rifles to snipe British sentries and Officers. Later, in the Civil War, Colonel Hiram Berdan formed a group known as "Berdan's Sharpshooters." Again, these highly trained and specially equipped individuals were utilized against the enemy.

American Law Enforcement, for the better part of its history had no organized systematic approach or way to deal with armed and barricaded suspects. It all began to change in the 1960's. On August 1, 1966, Charles Whitman, a former Marine Corps marksman, took a footlocker of weapons to the tower of the Administration Building of the University of Texas at Austin and began firing on people below.¹ Whitman killed 15 people and wounded 31 others before he was killed. This and other similar incidents caused many Law Enforcement agencies to evaluate their ability to handle violent situations.

During the late 1960's the Los Angeles Police Department and the Los Angeles County Sheriffs Department were among the first departments to organize Special Weapons And Tactics (SWAT) teams. The SWAT concept has virtually covered the entire country, with many agencies choosing to call their team acronyms other than SWAT. While a team may be called one of a variety of names, the basic concept and purpose of the team remains the same. That purpose is: "gaining maximum control of a situation while employing minimal force."²

With the proliferation of SWAT type units came crimes where heavily armed persons would barricade themselves in buildings and other locations and threaten to kill hostages or any police officer who tried to arrest them.³ As the media has directed a great deal of attention to these types of incidents, their number has grown significantly. The role of the media has tended to glorify the hostage-taker and has indirectly influenced a new breed of violent

people.

By the early to mid 1970's special weapons teams have proven themselves to be effective against hostage takers, snipers and barricaded suspects. The resolution of high risk incidents in a successful fashion helped validate SWAT as a viable option for law enforcement.

Today's SWAT teams show little resemblance to their predecessors. The team structure, the uniforms worn, the weapons utilized and the advanced tactics reflect a quantum leap from the past. As the technological community advances into the twenty first century, one can only speculate at the picture of a SWAT team in the next 10-15 years.

The utilization of the SWAT team has evolved into two basic missions: (1) Barricade/Hostage situation resolution, and (2) High risk arrest and search warrant service. Frequently while performing warrant service the situation itself transitions into a barricade/hostage situation. As an illustration of a large departments SWAT deployment, the following charts were prepared from data obtained from the Los Angeles County Sheriff's Department(LASD) and the Los Angeles Police Department(LAPD)

Table 1

LASD SWAT Team Call-out Chart *

Year	Total Call-outs	Barricade/ Hostage Situations	High Risk Warrant Service
1988	111	45	66
1989	114	44	70
1990	109	42	67
1991	116	56	60

* Los Angeles County Sheriff's Department, March 1992

Table 2

LAPD SWAT Team Call-out Chart *

Year	Total Call-out	Barricade/ Hostage Situations	High Risk Warrant Service
1987	58	31	27
1988	97	41	56
1989	97	44	53
1990	73	31	42
1991	83	45	38

* Los Angeles Police Department, March 1992

While the SWAT team has evolved to its present state, it was not until the mid 1970's that the need for trained Hostage Negotiators was recognized.

The New York Police Department, under the guidance of Police Psychologist, Dr. Harvey Schlossburg, was one of the first police agencies in the country to formalize the Hostage Negotiations Team (HNT).⁴ The use of hostage negotiations in a Barricade/Hostage situation, creates a dialogue between the authorities (Police) and the hostage taker(s). This dialogue brings certain advantages. As the incident unfolds the negotiator is the only thing between complete capitulation or the immediate use of force. In essence what happens is that the negotiator establishes a rapport with the hostage taker and through the negotiation process buys time toward the peaceful resolution to the situation.

The HNT has become a critical component in the Barricade/hostage SWAT evolution. Using negotiators in these incidents is critical when dealing with civil liability issues. In April 1991, the Sacramento County Sheriff's Office (SCSO) handled a barricade/hostage situation at the Good Guys electronics store in Sacramento. During the course of the day long stand-off, the four, well-armed, Laotian suspects and the SCSO HNT negotiated toward a

peaceful surrender. Only after the suspects shot one hostage and threatened to shoot others did the SWAT team engage the suspects. The end result was three dead suspects, one wounded suspect, numerous wounded hostages and two dead hostages. As a result of the violent resolution to the incident, the Sacramento Sheriff's Office was sued by families of the suspects... for failing to negotiate long enough and failure to use Laotian interpreters during the negotiations. Conversely, the Sheriff's Office was also sued by the families of the hostages... for failing to act in a timely manner and prevent the injuries or deaths to the hostages. The HNT remains at the middle of this maelstrom of controversy.⁵ The technological advances in weaponry and tactics over the past 10 years have been astonishing. Law Enforcement has seen the introduction of laser technology, robotics, high speed computer systems, satellite assisted mapping and locating equipment and a variety of other technologies. Likewise, the advances in hostage negotiations have been significant, yet the question of how the barricade/hostage situation will be handled in the immediate future is still unanswered. Such issues as use of force, use of deadly force, civil liability, when to act, when to react, when to negotiate and when to attack must be addressed. The actual dynamics of a SWAT operation change from minute to minute as life and death decisions must be made in an instant. This research study examines the issue:

WHAT WILL BE THE STATUS OF LAW ENFORCEMENT
MANAGEMENT OF BARRICADE/HOSTAGE SITUATIONS

BY THE YEAR 2002? (Specifically in Orange County, CA)

DEFINITIONS

In order to put the contents of this study in proper perspective the following definitions are provided. These definitions will assist in understanding the research and its key concepts:

Law Enforcement - Law Enforcement in general is any federal, state, county, municipal or special district agency which is comprised of

officers who possess peace officer status (as defined by the California Penal Code); and which provides police services to a given population. The term police, police department, police agency and law enforcement agency are synonymous and are used interchangeably throughout this study. This study addresses California Law Enforcement in general and Orange County, California specifically.

Barricade/Hostage Situation - Any situation wherein one or more armed or unarmed persons, during the commission of a crime, fortify themselves within a location (building, home, vehicle or other structure), with or without hostages, and refuse to surrender to the police.

Psychological Diffusion Intervention Techniques - Any psychological technique or device that when used against the barricade/hostage incident suspect will diffuse the incident without the need for use of force. Such techniques could include hypnosis, subliminal suggestion, bio-rhythmic control and other similar techniques.

BACKGROUND Why has the Barricade/Hostage situation emerged? Since the late 1960's innovation of SWAT and the subsequent introduction of HNT in the early 1970's Law Enforcement has experienced a high number of barricade/hostage situations each year. In a study conducted in the late 1980's a review of 801 hostage events around the world, 524 involved kidnapping/barricade situations or 64% of the total.⁶ The remaining 277 involved hijacking and "other" events. A large number of the hijacking events themselves evolved into barricade/hostage situations, however for the purposes of the study the initial incident was used. The study further revealed that in 663 of the incidents (83%) the hostage and the hostage taker did not know each other.⁷ This finding is not surprising, given the violent nature of this interpersonal crime. A study of the duration of the 801 barricade/hostage events reflects the complicated nature of the negotiation process. Three hundred and forty-six of the incidents were resolved in twelve hours or less, while 455 of the incidents lasted more than twelve hours. One hundred and ninety-nine of the events lasted more than twenty-four

hours with 72 events exceeding eight days.⁸

This study also looked at the fate of the hostages (See Appendix A). A total of 501 hostages were released through the negotiations process of 64% of the total studied. 53 hostages were killed and another were 85 wounded, in both cases the majority being killed by the hostage takers. It is clear from the data studied that law enforcement agencies which practice a policy of restraint and negotiate for the release of hostages before resorting to the use of force, are more likely to insure the safe release of the hostages and the hostage taker(s) are less likely to experience any casualties in the incident. The number of criminals using guns in the commission of crimes in Orange County has steadily grown over the past 5 years. As an example, Homicides involving the use of guns has increased 13.6%, aggravated assaults have increased 182% and armed robberies have increased 11.3%.⁹

Public concern over police shootings has clearly gone beyond being simply a social issue. The use of deadly force by law enforcement is a solemn power given to police officers by society. The decision to use deadly force can become the source of great debate. This debate can be highly emotional. "The deadly force debate" is charged with emotion, fear, entrenched assumptions, class and race based suspicions, and virtually intractable value conflicts.¹⁰ Whenever too many limitations are placed on law enforcement's use of deadly force, there is created an inherent danger to the officers and the people they are paid to protect. Conversely, if control is too loose, avoidable shooting may occur, public support may suffer and civil litigation costs may soar. Law Enforcement finds itself increasingly becoming a target for civil litigation. As illustrated in the Sacramento County Sheriff's Officer incident, law suits are routinely filed against the police by both sides of an incident. As an example, in 1972, the city of Los Angeles paid \$553,340 in judgements and settlements for the actions of its employees. In 1990, these costs had skyrocketed to \$6.4 million.¹¹ These figures included use of force as well as use of deadly force.

Media attention has increased the awareness of the general public. Newspaper headlines such as "Time to Keep an Eye On OC' Police,"¹² "56 Shootings by L.A. Deputies, Called Suspect,"¹³ and "Under the Gun"¹⁴ reflect this scrutiny of the deadly force issue. The deadly force issue is one of the most controversial and complex social issues in our society. The decision to use deadly force to resolve a barricade/hostage situation is seldom made in an instant. As the statistics have shown this decision is infrequently made in the barricade/hostage situation. Before the decision is made, the incident commander must weigh many factors. These factors include, the protection of officers lives, the protection of the lives of hostages as well as hostage takers, the constitutional rights of the people involved, the current legal climate, community attitude and support, departmental policy, and the status of the incident.

The barricade/hostage situation dilemma did not happen, nor will it disappear, overnight. It is a highly volatile issue that must be dissected, analyzed and challenged by law enforcement in the future. This research will detail a management strategy for law enforcement administrators use and will serve to promote future study and thought on the management of barricade/hostage situations.

The body of this report will be limited to a comprehensive summary of the research findings. Charts, graphs and research data have been placed in the Appendixes. Reference to the specific appendix cited in the report or review of the listing of appendixes will provide the reader with the data desired.

Section II

FUTURES STUDY

WHAT WILL BE THE STATUS OF
LAW ENFORCEMENT'S MANAGEMENT OF
BARRICADE/HOSTAGE SITUATIONS
BY THE YEAR 2002?

(Specifically in Orange County, CA)

The issue question in this research project is:

WHAT WILL BE THE STATUS OF LAW ENFORCEMENT MANAGEMENT OF BARRICADE/HOSTAGE SITUATIONS BY THE YEAR 2002? (Specifically in Orange County, CA)

This issue was selected for its future implications as determined by an extensive review of literature, discussions with law enforcement professionals, civil litigation experts and police psychologists, and by the researcher's many years of Special Weapons And Tactics experience and interest in the subject. The following three sub-issues were selected to further define the issue.

These sub-issues were identified through extensive reading of futures file materials as well as numerous topic source documents and consultation with various law enforcement experts:

* Will psychological diffusion intervention techniques impact the management of barricade/hostage situations?

* What technological changes will affect the management of the barricade/hostage situations?

* What level of force usage will be acceptable in the management of barricade/hostage situations?

The Scanning Process

An environmental scanning process was conducted which consisted of several phases: a comprehensive literature review, numerous personal interviews with subject matter experts, a phone survey of one hundred and twelve police departments in Southern California and individual analysis. This survey revealed that 45% of the departments surveyed have SWAT teams, while 58% have dedicated Hostage Negotiations Teams (see Appendix B). This is the result of various factors, including budgetary constraints, departmental philosophy, manpower needs and a variety of others. These figures clearly demonstrate the fact that more departments recognize the need for negotiators vs tactical teams. These percentages are not unique to California Law Enforcement. Police Departments across the nation are requesting the consultation of psychologists during hostage incident negotiations.¹⁵ While more

departments actually have dedicated HNT, 110 of the 112 have access to SWAT, either by departmental teams or via contract with another Law Enforcement agency. The preference for the HNT is directly related to the question of liability and individual departmental philosophy.

This process provided a sound basis for identification and selection of the sub-issues. Utilization of this data to develop sub-issues was critical to the focus of the main issue. A bibliography of literature reviewed is contained in Appendix C.

A compilation and analysis of information relative to the main and sub-issues were conducted. This analysis provided a basis for the identification, development and study of trends and events.

Nominal Group Technique

A Nominal Group Technique (NGT) Panel was assembled to assist in the preliminary development of trends and events germane to the issue. Nine individuals were selected for the panel, all of whom possessed a degree of familiarity with the subject of the research and some level of expertise as well. (Refer to Appendix D for a profile of the NGT panel). The panel developed and discussed candidate lists of thirty-four (34) trends and thirty-two (32) events. (Refer to Appendix E). The panel recognized that trends are related to other trends that are being studied as issues. Related trends change over time; this change helps define an issue through forecasting.

The NGT panel, through the process, selected six (6) trends and five (5) events for further review and forecasting. (See Appendix F)

Modified Conventional Delphi Process

Since these preliminary findings did not satisfy the researcher a Modified Conventional Delphi (MCD) Process was conducted to refine insights on trends and events relative to the issue and sub-issues. Eleven individuals were selected to participate in the process. As with the NGT, panel members were selected for their individual experience and subject matter expertise. For a description of this futures research process and the persons who participated in the

process see Appendix G.

The researcher found that both panels closely evaluated many of the same trends and events (See Appendix H for comparative tables). The fact that both panels were so close on events and trends both evaluated, further validated the processes and their findings. While many of the same trends and events were evaluated by both panels, the Modified Conventional Delphi panel evaluated and forecasted two additional trends and one additional event. These additional trends and events were identified for study since previously forecasted ones had changed or were no longer related to the issue and sub-issues.

TRENDS

The MCD panel was asked to use a numerical ratio scale to forecast trend levels. Each panel member was expected to utilize his/her own experience, expertise and opinions when forecasting. The level of the trend today (the present) was 100. Trend levels less than today's would be less than 100 and levels more than today would be more than 100. The first forecast reflected the level of the trend 5 years ago. The second and third forecast reflected both nominal and normative estimates for the future - five years and ten years from now respectively. Table 6, Appendix H, uses panel median forecasts to depict the trend forecasts. Graphs of each trend levels are contained in Appendix I.

The following is an analysis of the MCD trend evaluation:

TREND ONE: - Military reductions result in ongoing development of high-tech/non-lethal weapons and devises for law enforcement use.

The recent development and utilization of high tech smart weapons by the military and spurred considerable growth in similar development for law enforcement uses. While the development is rapid, it is expected to grow even faster as military cutbacks affect the industry. Federal, State and Local Law Enforcement could benefit greatly as new technology is made available.

The panel recognized that five years ago the availability of high-tech was less than today. Conversely, the panel forecasted that the availability of technology will increase rapidly over the

next five to ten years. Overall, the panel members felt that the levels "will be" less than they "should be."

TREND TWO - Ongoing recession and budget cuts effect SWAT teams throughout the State.

The recession experienced throughout the state over the past several years has required police administrators to closely review expenditures, particularly in the 'nice to have' areas. Many agencies view the SWAT team as a costly enterprise and a continuing recession could result in the reduction or elimination of SWAT teams in most small departments.

The panel, overall, saw the level of this trend as less five years ago, although not significantly so as the median forecast was 85. The panel did forecast a similarly modest increase for five and ten year into the future. Interestingly the panel forecast lower numbers in the "will be" category vs the "should be" category. The explanation for this was the expectation that reduction or elimination of SWAT will occur only in extreme situations.

TREND THREE - Various psychological diffusion techniques developed for barricade/hostage situations.

The research and development of psychological diffusion techniques is a new area of interest for the Law Enforcement community. As the utilization of Police psychologists during the HNT evolution increases, diffusion techniques are being developed.

As with trends one and two, the panel believed that the level of this trend five years ago was less than today. The panel forecast a conservative increase in this trend over the next five years with a significant increase at the ten year time frame. This significant increase can be attributed to the relatively new use of police psychologists in HTN and the need for non-lethal methods of incident solution. The panel forecasted that the levels at five and ten years "will be" lower than they "should be."

TREND FOUR - Civilian review boards occurring throughout the state to monitor and control police tactics.

The introduction of civilian review boards has caused a great deal of concern in the Law Enforcement community. While these

boards are normally involved in the after action review of departmental policy and procedure, the anticipation that they could become directly involved in operational and tactical situations is great.

The panel gave a wide variety of responses to the five years ago estimate, yet the median score was 90, or just less than the present. The forecasts for five and ten years from now were relatively close. There was a projected steady increase out to the ten year range. In both the five and ten year future forecast the "will be" was higher than the "should be."

TREND FIVE - Privatization of SWAT teams as budget problems continue throughout the state.

As with many of the other traditional functions of Law Enforcement the privatization of SWAT teams becomes more likely as budgetary problems continue. The privatization of jails and many other L.E. services has been happening over the past several years.

The panel estimated that this trend was low five years ago, the panel median score being 50. The panel forecasted no change from the present at the five and ten year time frames. The panels forecast demonstrated that this trend's occurrence hinges upon the fiscal environment during the next five to ten years. The projected reduction in the military would provide highly trained personnel to perform the job should this trend occur.

TREND SIX - Numerous bills introduced in the State Legislature relative to use of force and police tactics.

The level of visibility and concern for the use of force and tactics of L.E. has been higher than ever, since the advent of home video and their use to record police activities. This concern has been demonstrated in the increased prosecution of police officers and the constant protest of the civil liberties groups and minorities in general.¹⁶ In the State of California, the majority of new laws come from legislative bills and ballot initiatives. These laws, more often than not, are the direct result of public reaction to a particular incident, event or series of events.

The panel developed an interesting range of estimates and

forecasts for this trend. Virtually all panel members felt that this trend was somewhat less five years ago, with the panel median of 75. Significant increases were forecasted for five and ten years in the future. The median at five years was 150 while at ten years it rose to 190. Conversely at both the five and ten year range the "should be" was forecasted to be less, 125 and 145 respectively. The panel recognized that the introduction of such bills will continue to increase, despite the panels desire for the "should be."

TREND SEVEN - Gang warfare affects public support for use of deadly force by law enforcement.

The level of gang activity and gang warfare is increasing at an alarming rate. This increase is directly proportionate to the changing demographics and values in our society and the lure of the lucrative drug business. As the number of gangs increases and gang turf grows smaller, warfare is the result.

All members of the panel believed that the level of gang warfare five years ago was less than today. The median estimate was 80. All panel members forecasted a steady and significant increase in gang warfare over the next five to ten years. The five year median forecast was 150 and the ten year median forecast was 200. Interestingly the five and ten year "should be" forecast median scores were both 150. The panel forecasted that this trend would increase significantly over the next five years, but would then level off to a status quo.

EVENTS

The panel forecasted six events. Forecasting included rating each event by probability of occurrence (0-100 percent) for five and ten years from today. In addition, the panel also forecasted the number of years until the probability of an event occurring exceeded zero (0), and the positive and negative impact of the event on the issue (See Appendix J). Graphs of the event data are contained in Appendix K. The following is an analysis of the MCD event evaluation:

EVENT ONE - Federal Judge orders jail population cap in all state prisons. Forces early parole or release of many prisoners

While our legal system struggles with an incredible backlog of cases and an ever escalating rate of recidivism, there is constant pressure to limit the number of prison beds available for prisoners. Civil rights groups routinely sue cities, counties and states for overpopulated jails, prisoners rights and prisoner release time reductions. The County of Orange has been under a Federal Court order, limiting jail population in county jails, for the past several years. The reality of this event is further exacerbated by the trend of early parole for virtually thousands of convicts annually in the State of California.¹⁷

The panel forecasted that this event will occur within the next two and a half years. The probability medians at the five and ten years marks, were 60 and 85, respectively. The panel felt that this event would have a mild positive affect on the issue (Median - 3), and a strong negative impact (Median - 8). The panel based the positive impact on the expectation that while more criminals were given alternative sentences or simply released from custody the support for L.E. from the general population would increase, thus having a positive impact on the issue.

EVENT TWO - Robot introduced that is capable of doing a variety of dangerous activities and the delivery of weapons.

Research and development in the field of robotics has been ongoing for the past several years. The introduction of robots for L.E. use has been minimal with most being used for Public Relations, yet police robots have been in use in the Los Angeles and New York Police Departments for the past several years. While these robots are primarily used by the bomb squad, their adaption to SWAT tactical use is drawing closer and closer.

The panel median forecasted that the introduction of such a robot would occur within the next three years. The probability medians at the five and ten year time frames reflected 65 and 80 percent probabilities. The panel rated the positive impact of this event much higher than the negative impact, with the positive

median being 8 and the negative median 1. The availability of such a device would clearly enhance the ability of SWAT teams to deal with hostile and dangerous situations.

EVENT THREE - Civilian Hostage Negotiation Team Law Passed. Civilian only team members, use of force approval by consensus only.

Both State and Federal courts have addressed the use of deadly force by police officers in past years. Often times these courts have handed down cases with more restrictive interpretations of when deadly force can be used. Coupling this with the trend toward civilianization and civilian review boards, the removal of the negotiations team from Law Enforcement, and legislating civilian HNT becomes a reality. One of the constant conflicts during the barricade/hostage situation, at least in the minds of the outsider, is when to negotiate and when to go tactical.

The panel did not forecast an occurrence of such a law for at least five years. The panel further forecasted that at the five year mark the probability was a low 25 percent while at the ten year time frame the probability only increased to a median of 35 percent. This event was forecasted to have a low positive impact and a high negative impact on the issue.

EVENT FOUR - Police psychologist introduces subliminal suggestion technique to diffuse Barricade/Hostage situations.

The use of clinical and police psychologists during the hostage negotiations evolution has been firmly established in virtually all Law Enforcement agencies in the United States.¹⁸ While this holds true, research in hypnosis, subliminal suggestion and other diffusion techniques is relatively new. The adaptation of such a technique is quite within expectation.

The panel forecasted this event to first exceed zero at the three year mark (panel median). At the five year mark the panel forecasted a 45 percent probability and at the ten year mark a 70 percent probability. The panel forecasted a high positive impact (Median - 8) and a low negative impact (Median - 2). The introduction and use of such a technique would clearly mean the

successful(peaceful) resolution of barricade/hostage situations.

EVENT FIVE - State Supreme Court Decision Limits the Use of Deadly Force in Barricade/Hostage Situations.

The State and Federal courts have regularly addressed the use of deadly force, in general, over the past several years. With the proliferation of the barricade/hostage incident in recent years the use of deadly force has come under close scrutiny. While the trend in Law Enforcement is to "secure and negotiate", often times these situations end in people dying.

The panel felt that increasing public scrutiny would first result in the Court limiting deadly force use in these situations as some level in four years. The panel forecasted that the level of probability at the five year mark would be 50 percent but would remain at that level at the ten year mark. The panel felt that the initial restrictions would be the result of recent cases such as the alleged beating of Rodney King by Los Angeles Police Officers.

The panel further felt that as departments made changes to satisfy the concerns of the public, support would return and public pressures and concern would lessen. From an impact standpoint, the panel forecasted a very low positive impact and a high negative impact. As with all restrictions placed on Law Enforcement by the courts, their initial impact is usually quite negative yet this lessens with time and adjustment.

EVENT SIX - Poor HNT techniques result in 100's dead during SWAT assault on prison riot. Public demands federal investigation.

Prison riots and prison takeovers have occurred intermittently over the past 10-15 years. The takeover of Attica Prison in the State of New York and the Oakdale/Atlanta riots are two of the more renowned prison incidents in the past decade. During the Oakdale/Atlanta Riots the importance of the HNT was clearly illustrated.¹⁹

The panel anticipated that this event would first exceed zero at the three year range. The probability reached 40 percent at five years and 50 percent at the ten year time frame. The panel forecasted a low positive impact (Median - 2) and very high

negative impact (Median - 9). The occurrence of such an event would have a dramatic impact on the Barricade/Hostage situation issue.

CROSS IMPACT ANALYSIS

The researcher and four associates performed a cross impact analysis(CIA). The associates selected for the cross impact analysis came from both the Nominal Group Technique panel and the Modified Conventional Delphi panel. The purpose of the cross impact analysis is to study and assess what impact each event forecasted, should it occur, would have on other events and the trends. A study of the results of the CIA shows which events are "actors"(greatest impact upon the other events and the trends), and which events and trends were "reactors"(most impacted by the events). Analysis of the results is helpful in selecting trends and events for the development of future scenarios.(See Appendix K, Table 9, Cross Impact Analysis Matrix).

Those events identified as "actor" events will become the focus for future policy action. An evaluation of the affect each "actor" event had on other events and trends will allow the researcher to develop policies with the objective of making an event more or less likely to occur.

The following is a brief interpretation of the cross-impact analysis:

EVENT ONE - Federal Judge Orders Jail Population Cap.

The occurrence of this event would have the impact of increasing the probability of two events while decreasing the probability of two additional events and not impacting one other. This event would increase the level of four of the seven trends. The early release or parole of criminals would place a heavy burden on Law Enforcement. The civilian population would be more tolerant to use of force as violent crime increased. The development and introduction of technologies would be likewise enhanced.

EVENT TWO - Police Robot Introduced.

An actor event, its occurrence would impact the probability of all but one of the events and the levels of virtually all of the

trends. The introduction of such a device would result in less danger to Law Enforcement personnel, while providing a method of successfully handling barricade/situations through its ability to deploy a variety of non-lethal weapons and devices. While cost is of critical concern, the reduction of liability would probably compensate for it.

EVENT THREE - Civilian HNT Law Passed, Use Of Force By Consensus.

This event, like event two, impacted four of the five events, with both increased and decreased probabilities. This event impacted the levels of all seven trends. Restricting the HNT function to civilians only would result in problems during tactical situations relative to the question of when to negotiate and when to use a tactical response. The civilian HNT would alleviate conflict of interest concerns once the decision to use force is reached, and could relieve much of the liability law enforcement faces. Law enforcement grudgingly gives up any form of control of tactic decision making and this event would not be well received.

EVENT FOUR - Police Psychologist Introduces Subliminal Suggestion Diffusion Technique.

This event impacted four of five events and the levels of six of seven trends. While such an event would clearly facilitate the solution of the barricade/hostage situation, its was projected to have a lesser impact on the events and trends. This impact was found to be due to such a breakthrough negating the need for many of the current tactical and strategic aspects of the barricade/hostage situation.

EVENT FIVE - State Supreme Court Decision Limits Use Of Force.

Clearly an actor event, this occurrence would impact all seven events, both increasing and decreasing probabilities and would affect all seven trend levels. Limiting the use of deadly force would present a critical problem during the barricade/hostage situation. The trend to secure and negotiate would be taken to its limits and the costs of handling these situations would be incredible. Such a mandate from the court would clearly stimulate the development of non-lethal weapons and any type of diffusion

techniques. This event would be interpreted as handcuffing the police. While clearly a restrictive event, its occurrence would probably lower liability concerns and would mitigate deadly force encounters.

EVENT SIX - Poor HNT Technique Results In Hundreds Dead During SWAT Assault On Prison Riot/Takeover.

This event's occurrence would impact four of the five events and six of the seven trends. Its occurrence would increase the probability of all four events impacted.

An event of this magnitude would clearly stimulate the civilianization of HNT, and cause civil rights advocates and the courts to look at restricting use of deadly force. An event of this type would likewise facilitate development of non-lethal weapons and techniques.

SCENARIOS

The final phase of this section is the development of future possibilities, based upon the study of the previous trends and events. Scenarios are imaginative descriptions of what could be. Scenarios are used by planners and policy makers to look at what the future might hold. Three modes of scenario forecasting will be presented: Exploratory (Nominal Mode) - "Surprise Free"; Hypothetical - "Worst Case"; and, Normative - "Favored and Attainable".

The venue for these scenarios will be the City of Huntington Beach, County of Orange, California.

Scenario One (Exploratory)

"Surprise Free"

As the twenty-first century begins the Chief of Police, Patrol Commander and SWAT Commander are closely reviewing the past decade of SWAT activity. Accessing the recently introduced nationwide Federal Bureau of Investigation (FBI) SWAT Data Base (SDB), they are pleased to find that the incident of barricade/hostage situations has steadily decreased during the past ten years, not just in Huntington Beach and Orange County but virtually all across the country. This steady decline is directly related to

developments during the 90's. With the end of the Gulf War of 1991, the fall of the Soviet Union and large military cutbacks in 1992/1993, private industry directed much of its efforts towards the development of high-tech, non-lethal weapons and devises for domestic use. This included the development and marketing of a police robot (ROBO-COP), which markedly decreased the danger to SWAT team members while increasing the capability of tactical teams to successfully handle situations.

Law enforcement has likewise benefitted greatly from advances made in the field of psychological diffusion. A number of potentially disastrous incidents have been peacefully settled via this technique.

The financial difficulties facing the country and law enforcement during the early 1990's have disappeared with the improved economy and improved trade relations with the entire world market. While the economy has improved, the support law enforcement enjoys from society in general has grown significantly. A combination of this support and the efforts of the technological community have had a synergistic effect on domestic development. This will provide SWAT team commanders with even more sophisticated and advanced tools and systems for the management of barricade/hostage situations.

The Chief, Patrol Commander and SWAT Commander all agree that it has been an interesting and satisfying past ten years. They likewise agree, cautiously, that the picture for the next ten years appears good.

SCENARIO TWO (Hypothetical)

Worst Case

Doctor Corcoran sits in the SWAT Lieutenant's office with his shoulders sagging and a sad, yet angry expression on his face. Corcoran has devoted the past twenty-two years of his life developing a hostage negotiations team, second to none. He has been personally responsible for selecting, training and developing each member of the team. He has also organized and directed the Orange County Hostage Negotiators Association for the past five

years. His reputation within the HNT community is impeccable.

Doctor Corcoran, 'Doc' to all who know him, earned his doctorate in psychology and specialized in police psychology. He is a 25 year veteran of the Huntington Beach Police Department.

'Doc' tells the Lieutenant that, "All is lost, we've just gone backwards, at least fifteen years." This statement is in response to the passage of legislation mandating civilian only, hostage negotiation teams.

Over the past ten years, Corcoran has experienced a steady diet of disappointments due to court decisions as well as legislative restrictions and limitations. While the hope of non-lethal weapons was short lived, as was the concept of police robots, the recent discoveries in mind/thought control have been incredible. Now, on the verge of a major breakthrough, the courts and innumerable individual rights groups have virtually stopped all research and frozen all grant money.

Society, as a whole, has turned a deaf ear on Law Enforcement as the economy worsens. The weakening economy has exacerbated the already critical budget constraints facing the state. In turn, municipalities have had to reduce services and cut back on specialized units.

While not yet a victim of these cuts, the Lieutenant realizes that her SWAT team could be next. The Lieutenant respects Corcoran's opinion and fears that he is, as usual, right on the mark.

SCENARIO THREE (Normative)

Favored and Attainable

As the sun sets on a warm July 4th, 2002, 20 hi-tech paging devices go off throughout Orange County. A small group of armed radical individuals has seized the Grand Marshal of the Annual Huntington Beach Fourth Of July Parade. The Grand Marshal, the first female Chief of Police in Huntington Beach history, is being held in a completely fortified safe house in the suburbs of the city. The group is demanding the closure of numerous off-shore oil rigs, and the televised dismantling of the oil platforms.

A short time later, the SWAT team is at the scene and in place. A command post has been established, as has an inner and outer perimeter. The Hostage Negotiations Team has arrived as well, and the HNT communications facility is active. The SWAT commander, Lieutenant Mark Allinson, initiates the command post and details various support personnel to access the command posts various high technology systems. Lieutenant Allinson is immediately updated on the situation, officer deployment and a myriad of other tactical and strategic data.

As the HNT begins its complicated negotiations process, the suspects are contacted via video telephone. Immediately the HNT supervisor initiates a dialogue with the hostage-takers. This dialogue is recorded and monitored by the HNT police psychologist. As the negotiations continue, a pre-selected, pre-recorded subliminal suggestion process is initiated. The psychologist simultaneously selects and initiates a well scripted psychological diffusion technique. This technique includes critical and continual reinforcement of the subliminal suggestion process.

As Lieutenant Allinson oversees the preparation of the SWAT teams remotely operated robot, a variety of recently developed non-lethal weapons are made ready. These "weapons", carried by the robot, include; a devise which uses disabling sound waves; advanced totally disabling chemical weapons; a zero watt electronic disorienting device; and, low intensity targeting laser. Simultaneously, the Lieutenant discusses the safety of the Chief of Police with the two tactical team Sergeants. The Lieutenant knows that deployment of the robot will incur no risk to the SWAT team and will most certainly result in the safe rescue of the Chief and the arrest of the suspects.

Within a short time, as the robot preparation draws to an end, the HNT supervisor contacts Allinson on his secure communications link....."the suspects are ready to give-up, with no further demands!!!" Arrest teams quickly move-in and the crisis ends as quickly as it began. Three calm, quiet and thoroughly confused suspects are taken away, unwitting victims of the coordinated

subliminal and psychological diffusion technique.

Allinson smiles and shakes his head as he thinks back to the "run-and-gun" good old days. As Allinson pulls into his home driveway, he wonders how the technique would work on his upcoming Captains' oral examination.....

Section III

STRATEGIC MANAGEMENT

A PLAN FOR THE SUCCESSFUL AND SAFE
MANAGEMENT OF BARRICADE/HOSTAGE SITUATION

This portion of the research paper will outline the structure and define how anticipations affect decisions.

Strategic Planning is defined as:

"A structured approach, sometimes rational and other times not, of bringing anticipation of an unknown future environment to bear on today's decisions."²⁰

The strategic management plan will be based on the normative scenario from section two, "Favored and Attainable." This scenario reflected an ideal state for law enforcement during the barricade/hostage situation. Public and private support for law enforcement is high, technological developments are plentiful and psychological diffusion techniques are available to the hostage negotiations team. This strategic management plan's object will be to increase the probability of this scenario becoming a reality.

STRATEGIC MANAGEMENT PLAN, SUBJECT AREA

The subject of this strategic management plan will be the County of Orange which is located in Southern California, between Los Angeles and San Diego Counties. Orange County is comprised of 27 municipalities, 21 having their own police department. The county also has several unincorporated areas and 6 municipalities which are serviced by the Orange County Sheriff's Department. Orange County has a demographically diverse population of 2,511,000. The county is serviced by 4003 police officers and sheriffs deputies. Orange County is the home of numerous internationally known amusement parks, including Disneyland and Knotts Berry Farm, as well as having 50 miles of beautiful public access beaches.

Within the county, the Orange County Chiefs' of Police Association is the major governing body for local law enforcement policy, procedures and continuity. The Orange County Sheriff is only an associate member of the Chiefs' Association. There are two major Criminal Justice Training Centers in the county. One is located at Golden West College in Huntington Beach and it is governed by an advisory board consisting of all Chiefs of Police in the county. The second, the Orange County Sheriff's Academy, is

located in Anaheim and is governed by the Orange County Sheriff/Coroner.

Of the 28 agencies in Orange County, 19 have SWAT teams while 26 have Hostage Negotiations teams. Those agencies without one or both of these teams, contracts with the Sheriff for SWAT/HNT services.

Over the past five years, SWAT call-outs have steadily increased, with the barricade/hostage situation leading the way. While the Orange County SWAT Commanders' Association was instituted in late 1990, there is virtually no system for coordinated training, tactical policy development or technology development and procurement. Mutual aid is handled on a team by team basis, with no established protocol for SWAT/HNT call-outs in a mutual aid scenario. With the trend of extended barricade/hostage situations²¹, mutual aid and tactical team relief have become critical. Likewise, the need for advanced non-lethal devices and alternative negotiation techniques has increased.

MISSION STATEMENT

Law Enforcement has a fundamental mission of:

"To maintain order, prevent crime, identify and apprehend criminals and insure the protection of life and property to society."

This mission statement is generic to all of law enforcement.

The mission statement of a specific unit within an organization or organizations is a "micro" mission statement. The "micro" mission statement for the issue question of this study is:

"It shall be the mission of Orange County Law Enforcement to identify, procure and provide SWAT teams with the most advanced and effective technological and psychological tools necessary to manage the peaceful, successful and timely resolution of barricade/hostage situations.

This issue related mission statement is relatively self-explanatory. Orange County Law Enforcement's goal is to avail itself of the latest tools necessary for the successful and timely resolution of barricade/hostage situations. "Successful" would

include the release of all hostages(unharmed) and the capture of all suspects(unharmed) with no injuries to the police or bystanders. Once Law Enforcement obtained the resources and ability to do so, potential hostage takers will be less likely to do so, knowing that their probability for success is virtually non-existent. While research would indicate that barricade/hostage situations will continue to occur, the expectation that their frequency could diminish, is realistic.

SITUATIONAL ANALYSIS

In order for any planned change to occur, an assessment of the situation within which the change is proposed must be made. In order to accomplish this first step in the change process, the researcher utilized a group of seven Orange County Law Enforcement managers to conduct a situational analysis. This group included two police Captains, four police Lieutenants and one sheriff's Lieutenant. The members of the group were selected based on their extensive experience and background relative to the issue.

The group used a two step process to conduct the situational analysis. The first step, was an examination of the external environment and the internal organization within Orange County. In the second step, the group identified stakeholders and snaildarters and their assumptions (See Appendix M). Stakeholders can be persons, groups of persons or organizations who:

1. have an impact on what you do
2. are impacted by what you do
3. have concerns about what you do

Each of the stakeholders can have a positive impact, negative impact or both, relative to the issue. Each has a "stake" in the plan to manage the successful handling of the barricade/hostage situation.

Included in the stakeholder identification were several "snaildarters". "Snaildarters", like the stakeholders, have a stake in the issue/plan. They have the potential to stop or hinder the organization and can even cause critical problems for program or plan implementation.

WOTS-UP ANALYSIS

The WOTS-UP process involved two separate assessments. The first examined external environment factors (opportunities - threats) that could impact the County of Orange to address the strategic issue. An "opportunity" is any situation that is favorable to the proposal. A "threat" is any situation that is unfavorable. The second was an analysis of Orange County's internal strengths and weaknesses. A "strength" is any resource or capability that can be used by the organization to facilitate attainment of its objectives. A "weakness" is any limitation or defect within the organization that may impede or hamper the attainment of its objectives. WOTS-UP Analysis is the study and identification of Weaknesses, Opportunities, Threats and Strengths. (See Appendix L for WOTS-UP analysis lists)

EXTERNAL ENVIRONMENT ANALYSIS

Within the next ten years the demographic make-up of California in general and Orange County specifically will change significantly. As the population increases the availability of land and housing will be outstripped. While Orange County has large areas of undeveloped land, most of it will be gone by the turn of the century. The population growth will reflect a projected white minority by the year 2000 in California. Orange County, currently experiencing a rapid change in the population, will undergo a similar demographic transition. This population change will present a number of problems for law enforcement. Combining this growth with the economic troubles of the late 1980's and the early 1990's, and a picture of fiscal cutbacks is probable. Society as a whole will demand more efficient and cost effective public services. These demands will affect the issue in the following external environmental areas:

** Technological Developments and Non-Lethal Weapons

** Public Attitude/Scrutiny

** The Media

** Court Rulings Restricting Deadly Force Use in
Barricade/Hostage Situations

** Psychological Diffusion Techniques

** Liability Issues

** Fiscal Support

(See Appendix S for an explanation of each external environment area)

INTERNAL ENVIRONMENT ANALYSIS

The situational analysis group next assessed and studied the following internal environment and organization of Orange County:
Regional SWAT Associations

Orange County Chiefs of Police Association

Orange County Sheriff/Coroner

(See Appendix T for an explanation of each internal environment area)

Capability of Orange County Law Enforcement to Adapt to Change

The situational analysis group next discussed and evaluated the capability of Orange County law enforcement to adapt to the changes necessitated by the subject issue. The group studied the organizational structure of Orange County's law enforcement community and determined that related changes are encouraged and that top management has the requisite skills to facilitate and implement future strategic plans. The consensus of the group was that the external environment would have minimal adverse impact and the internal climate would be receptive and adaptive to fresh and related change. The talent levels within the organization would quickly adapt to and expedite related change. Innovative change and risk taking are not the norm in law enforcement, yet many of the steps in the strategic plan will necessitate such an approach and attitude. The managers of the future must clearly become risk takers, change agents and bold innovators

STRATEGIC ASSUMPTION ANALYSIS

The Strategic Assumption Analysis was the final part of the situation analysis. As previously stated the group identified a number of stakeholders, related to the strategic issue of this research.

Once the stakeholders and snaildarters were identified, their

positions on the issues were analyzed. This analysis included the making of assumptions as to the position of each stakeholder in relation to the research issue. Once these assumptions were made a Stakeholder Assumption Map was prepared. This Assumption map depicts the importance of the stakeholders and snaildarters as they relate to the research issue, and the level of projected certainty of the assumptions attributed to each stakeholder. (See Appendix N)

MODIFIED POLICY DELPHI

The researcher used a Modified Policy Delphi process to identify and analyze a number of alternative strategic policies. These strategies were selected for their ability to promote and facilitate the positive future described in the normative, "favored and attainable" scenario. The process (conducted via fax, over the telephone and in person) produced sixteen (16) policy alternatives. (See Appendix O) The panel consisted of six (6) mid-management law enforcement personnel, two private industry security managers and one management consultant. The panel subsequently rated each of the policy alternatives on its desirability and feasibility. The list was ultimately reduced to three as a result of the process' rating system. The three remaining strategies were then subjected to detailed analysis. The strategies selected for analysis were: Alternative Strategy #1 Establishment of a county wide committee, responsible for the identification and development of SWAT technology.

Alternative Strategy #2 Establishment of a county wide high-tech procurement task force under the auspices of the Orange County Chief's Association.

Alternative Strategy #3 Establishment of a statewide SWAT tactics/information network and exchange computer system.

An evaluation of pro's and con's was completed and a stakeholders and assumption analysis was conducted. (See Appendix O)

The analysis was made relative to the individual stakeholders and each alternative. The analysis reflected whether the stakeholder/snaildarter would "Support", "Oppose" or be "Neutral"

on each alternative(See Appendix P). In reviewing and analyzing the three alternatives, alternative #2 clearly has the strongest support from the stakeholders. This alternative would facilitate the procurement process throughout the county, utilizing alternative funding methods. This would have a positive impact on the willingness of private industry to research and develop the most sophisticated and effective technology possible. The presence of a ready made market has historically stimulated competition within industry. Within this competitive environment, the task force would be responsible for identifying and selecting the best of the best.

The management of a barricade/hostage situation is highly complex and volatile. Life and death are often moments from each other. Implementing a plan to insure a successful solution to the incident and thus guarantee the Normative "Favored and Attainable" scenario is not an easy process. No one of the policies listed above would, by itself, be sufficient to insure the success desired. With that in mind, the recommended strategy will include each of the three policies. This strategy is designed to ..."identify, procure and provide SWAT teams with the most advanced and effective technological and psychological tools necessary to manage the peaceful, successful and timely resolution of barricade/hostage situations." This strategy includes the following policies:

1. County committee to identify and develop SWAT technology
2. County high-tech procurement task force
3. Statewide SWAT tactics/information exchange computer

(See Appendix Q)

IMPLEMENTATION STRATEGY

In order to implement any strategy it is necessary to identify various requirements. These include clearly defined action steps, resource allocation and a specific, yet flexible time table. Once these facets of the strategy are identified the transition management team will be responsible for actual implementation. The transition management plan for Orange County will be described in detail in Section IV of this study.

The Orange County Chief's Association will be charged with the responsibility for planning and implementing the strategies. They must recognize the importance of successfully managing the barricade/hostage situation and take the helm in leading the project. This leadership will necessitate the commitment of personnel and fiscal resources during the formative stages of the project. Without this commitment the project cannot succeed. Implementation of the alternative strategies will initially be a slow and complicated process. The chiefs must be willing to agree on the management of the committee and the task force. Each of these groups will be faced with two major goals. The first will be the identification of appropriate technology for L.E. use over the next 5 to 10 years. The second will be to identify and obtain alternative funding sources to procure and disseminate the selected technology. Each group will work independent of each other, while often time overlapping their responsibilities. The direction of the implementation will rest with the management team. Similarly, the implementation of the SWAT computer system will require a strong commitment from the Chief's Association. This strategy will require a different level of resources, and will present different problems. The computer system, the input methodology, the retrieval process and a variety of other technical problems must be addressed. Individual department heads will be responsible to insure cooperation, resources and access. In each strategy the most critical and last aspect of the alternative will be the monitoring and evaluation process. This will become dependent on the cooperation between the Chief's the Sheriff/Coroner and their individual SWAT personnel. This cooperation will provide a timely assessment of the ongoing progress and success of each alternative.

The implementation process can be detailed in a three step process:

Step 1 - Recognizing The Necessity For Change

Step 2 - Preparation For Change

Step 3 - Implementation

(See Appendix R)

Section IV

TRANSITION MANAGEMENT PLAN

A DISCUSSION OF THE CRITICAL MASS AND THE
TRANSITION MANAGEMENT DIAGRAM FOR THE
IMPLEMENTATION OF THE PLAN TO SUCCESSFULLY
MANAGE THE BARRICADE/HOSTAGE SITUATION

This portion of the study will center on a transition management plan for the County of Orange. Critical to this discussion is the development of a management plan to transition from the present state to the desired state, as described in the Normative scenario. In terms of the County of Orange the concern will be "How can we coordinate and manage the resources of the entire county to insure the successful and peaceful resolution of barricade/hostage situation?" In order to answer this question affirmatively, the change process must be closely managed through the transition state. The transition state is that period between the current state and the desired state. This management will result in success or failure of the change process.

COMMITMENT STRATEGY

DEVELOPMENTAL PLAN

Critical Mass

The cornerstone of virtually all change efforts is a strategy or commitment plan. This plan must incorporate a clearly defined sequence of action steps designed to gain the support of key individuals and/or groups. As previously stated, these key individuals and groups are known as "stakeholders" It is imperative that the "Critical mass" be identified from this group. The critical mass is the minimum number of people who, if supportive of the change, make its success more likely.²² Not all stakeholders and snaildarters are part of the critical mass. The following six critical mass actors have been targeted:

* Orange County Sheriff/Coroner * Chief Of Police Huntington Beach Police Department * SWAT Commander Huntington Beach Police Department * SWAT Commander Santa Ana Police Department * Academy Director, Criminal Justice Training Center @ Golden West College
* Director, Taxpayers Action Network of Orange County 2000.

Commitment Charting

A part of identifying the critical mass actors includes a determination of commitment to the proposed changes. Table 3 (below) identifies the critical mass actors and provides an assessment of each actor's current level of commitment to the plan.

The chart also provides a projection of the minimum level of commitment required of each to make the change successful. Following Figure 1 is a brief summary of each actor and the most appropriate intervention strategies to be utilized to gain the needed commitment for the transition plans success.

Table 3
Commitment Chart

Critical Mass	Block Change	Let Change Happen	Help Change Happen	Make change Happen
O.C. Sheriff	X		O	
Chief, HBPD			O	X
SWAT CDR, SAPD		X	O	
SWAT CDR, HBPD				XO
Academy Dir.		O	X	
Dir, TANOC 2000	X	O		

X = Current level of commitment
O = Desired level of commitment

Orange County Sheriff/Coroner - The Sheriff is the CEO of the largest law enforcement agency in Orange County. The Sheriff is receptive to change, but moves cautiously when dealing with emerging technology and unconventional methods of operation. He is very conscious of the sensitivity of deadly force use and SWAT operations in general. His present level of commitment is borderline "Block Change." Educating him and raising his awareness level will facilitate his move to the "Help Change Happen" category. Emphasizing the need for his cooperation and its positive impact on the process will further enhance his move to help. The Sheriff's support will bring far reaching benefits to the implementation plan.

Chief of Police, Huntington Beach Police Department - The Chief of HBPD, like the O.C. Sheriff is a politically connected leader within the community. He is president of the Orange County Chief's

Association, as well as the Chairman of the California Commission on Peace Officer Standards of Training (POST) Commission. He is a strong supporter of change in the deadly force area and recognizes its potential in SWAT situations. He is clearly in the "Make Change Happen" category. While his support and position of power within the county are critical to the plan, he recognizes that budget concern and the efforts of the Taxpayers Action Network of Orange County 2000 could adversely impact the plan. The optimum place for him is in the "Help Change Happen" category. Procuring this commitment level could best be accomplished by soliciting his input and ideas and detailing his perceived role. By gaining his support and raising his awareness of anticipated distractions the move to help change will be accomplished. His presence in a facilitator role is critical to the process.

SWAT Commander, Huntington Beach Police Department - The SWAT Commander for HBPD is also the Hostage Negotiation Team (HNT) Commander for the police department. As a SWAT member, supervisor and commander since 1974, he has had the opportunity to participate in the evolution of SWAT at HBPD and within the county. He is active in the Orange County SWAT Commander's Association (OCSCA), and is very supportive of the proposed change. He has strong support from the majority of OCSCA members, as well as the members of his department's SWAT and HNT teams. He is a leader who embraces non-traditional concepts and ideas and is willing to take risks. He is clearly in the "Make Change Happen" category. This category is not only his present commitment level but is also his desired commitment level.

SWAT Commander, Santa Ana Police Department - The SWAT Commander for the SAPD has commanded his team for the past seven years. He is well respected in the OCSCA and commands the second largest SWAT team in Orange County. He is very much a traditionalist and often resists change. He is the type of individual who needs all of the facts and more, before moving away from the norm. As a leader in the OCSCA he has been vocal about his resistance to change and his concerns about regionalization of any type of SWAT activity or

function. While vocal about his concerns, he has taken a wait and see posture and is presently in the "Let Change Happen" category. His reputation within the county is quite good, and his actions are often indicative of the actions of many others. Moving him into the "Make Change Happen" category is necessary. This move can be accomplished by a comprehensive education process. Involving him in the initial phase of the plan will provide him with a sound understanding of the problems. He will learn where, how, why and when the changes will occur. His move will ensure unity in the OCSCA and solidify the ultimate success of the change process.

Academy Director, Criminal Justice Training Center @ Golden West College - The Director of the Criminal Justice Training Center(CJTC) @ Golden West College has a dual role in the change process. As the Academy Director he controls all training in the law enforcement program. CJTC is the provider of most POST approved training in the county as well as the host of the Orange County SWAT Academy. The Director is eager to get involved in the training aspects of the change process. In addition, the Director is a Police Captain with the City of Fountain Valley Police Department (FVPD), commanding the departments Uniform Division. Within his division are the departments SWAT and HNT teams. FVPD Is one of the smaller departments in the county and would benefit greatly by the majority of the changes proposed. The Captain has expressed caution on his part to get too involved in the process for fear of any appearance of conflict-of-interest between his two jobs. Any appearance of conflict-of-interest could impede transition as well as effect the position of the Sheriff/Coroner in the process. Moving the director from his present "Help Change Happen" category to the "Let Change Happen" would prevent any misgivings about his involvement, yet would insure his involvement in the training aspects. Considering his personal concerns, this move would require little negotiations other than a candid discussion of the potential problems and a clear description of his involvement once the plan is actively in the transition phase.

Director, Taxpayers Action Network of Orange County 2000

(TANOC2000) - The director leads a strong political movement that is clearly antagonistic toward any form of county wide task force with the potential of costing tax payers money. She has been very active in the county, condemning local government's spending practices and excesses. She will resist any change as she will view it as another unnecessary program. Her organization has grown from a small grassroots movement to a well oiled, smooth running, 800 + member political power. The Director is clearly in the "Block Change" category. She will resist change merely because it is change. Moving her to the "Let Change Happen" category will be accomplished as it was with the SWAT Commander of SAPD. Education and demonstration will be primary methods used. Providing her with the proposed organizational structures, the funding methodology and the projected levels of procurement, will insure the move. A proposal to include her and her organization in the planned monitoring programs and bi-annual reporting process will further enhance her support.

TRANSITION MANAGEMENT

STRUCTURE

By its very name, Transition Management describes the method of change. In order to get from one position to another, a series of calculated moves or phases must occur. Those phases are: 1) Pre-change state identification, 2) Transition State, and 3) The future state.²³ Clearly, we must recognize where we are and where we want to be in order to establish the transition state. Considering the magnitude of a county wide SWAT technology task force, a county wide SWAT technology procurement committee and a state wide SWAT computer system, the transition state will require a clear management framework and an open communications process. This framework and communications process will be similar for each of the three policies. The transition change strategy will involve all of the 27 police departments in Orange County, as well as the Sheriff's Department. This change will cross departmental as well as political lines. Recognizing that the general transition plan will be similar for each strategy, for the purposes of this study,

the specifics of the transition management process for the SWAT technology identification task force will be discussed.

While the Sheriff and Chief of HBPD, two of the most powerful law enforcement executives in the county, are part of the critical mass, neither should be selected to manage the change. As previously demonstrated they are polarized on the issue. Selection of either could adversely impact the position of the other. Utilizing the influence and political savvy of both in an advisory and support role is the only logical choice.

The SWAT Commander from Huntington Beach Police Department is a logical choice to be designated as the Transition Manager by the OCCA. His position within the OCSCA provides him with open lines of communication with every agency in the county. He has the requisite interpersonal skills and respects the positions of all stakeholders. He has direct access to his Chief of Police and through him, a communications link to the Chief's Association.

He will select a cross section of law enforcement personnel, including those with SWAT experience, computer backgrounds and free thinkers, to form the transition management team. He will provide direction to the team and assist each sub-committee with the resources and guidance needed to accomplish its task within the time frames established by the OCCA. The transition management team will be charged with establishing a network with researchers, scientists, federal agencies and tech-industry. The network will facilitate the goal of identification and development of the best technology for police use.

By managing the team in this fashion the doubters and nay-sayers will be given the opportunity to see and evaluate the process from start to finish. The idea of change is difficult for traditionalists to accept, such an individual, the SAPD SWAT Commander will clearly benefit from this method.

TECHNOLOGY IMPLEMENTATION

Implementation is the final step in any transition plan.

Utilizing a variety of technologies to support and facilitate implementation is necessary. Transition management plans must address those technologies which can be used to support implementation. Law Enforcement naturally resists change. When change is introduced feelings are hurt, anxiety increases, and often counter productive behavior occurs. Recognizing and addressing these fears and anxieties is critical to successful change. Therefore, it is imperative that significant problems be anticipated and addressed. Plans must be clearly defined and consistent with the stated goals. A number of technologies and methods will be used. These include the following:

Responsibility Charting

Responsibility charting is a technique for clarifying behavior. This process enables the manager to influence behavior, designed to facilitate desired actions. These actions can include decisions, change tasks and other desired results. Using responsibility charting will prevent unnecessary task overlap, save energy and effort, prevent frustration and clarify responsibility. (See Appendix U for Responsibility Chart)

Question/Survey

An invaluable tool in the process it allows individuals to be heard without fear of embarrassment or reprisal. It will also communicate the direction of the change process. Reinforcing the change direction and allowing individuals to be heard provides a sense of value to everyone and encourages future participation.

Organizational Confrontational Meetings

Such meetings provide an information exchange medium relative to needed changes. They also provide a system for prioritization of action items. This technology will aid in the conflict management process and will likewise reinforce individual ownership in the process.

Conflict Management

Conflict occurs when people interact in a change environment. Conflict can be destructive, yet when controlled and managed can be healthy. By controlling and managing the conflict situations the

project manager can involve "people" in the process and create a need for change. By illustrating the positives of the proposed change and how they will alleviate current problems, people will be more apt to accept change. This will keep the focus on the issues, not the people involved.

Milestone Recognition

Within any process a method of recognition and feedback is critical. Milestone recognition is a strong method of showing progress, while recognizing success. Recognition communicates trust and improves the flow of information. This technology, if properly utilized, will be a major factor in the success of the transition plan.

Section V

CONCLUSIONS

RECOMMENDATIONS

FUTURE IMPLICATIONS

BARRICADE/HOSTAGE TODAY -- BARRICADE/HOSTAGE TOMORROW

ACCEPTING THE CHALLENGE -- SEEING THE FUTURE

This section will begin with answers to the sub-issues and the main issue question with a discussion of recommendations. It will end with an identification of future topics of study.

ANSWERS AND RECOMMENDATIONS

The main issue question of this study is : "What will be the status of law enforcement management of barricade/hostage situations by the year 2002? (Specifically in Orange County, CA) The following sub-issues were studied in order to provide focus to the project:

- ** Will psychological diffusion intervention techniques impact the management of barricade/hostage situations?
- ** What technological changes will affect the management of the barricade/hostage situation?
- ** What level of force usage will be acceptable in the management of barricade/hostage situations?

The introduction of psychological diffusion techniques will reduce the need for the use of deadly force. Psychological diffusion can include any method by which the HNT overtly or covertly causes the hostage taker to surrender. These methods could include the use of detached hypnosis, subliminal suggestion, subliminal reinforcement and/or psychosis directing. Control of the hostage takers emotions, bio-rhythmic elevation and thought provoked drowsiness are other potential methods of diffusion that will be available to the incident commander. Psychological diffusion has great potential for producing the least adversarial and most peaceful solution of the barricade/hostage situation. This reduction will enhance the support of the public for law enforcement in those instances where deadly force is ultimately used.

Robotics, chemical, satellite, video, computer and smart technologies are just a few of the non-lethal devices on the horizon. The "robo-cop" will present a devise capable of gaining entry to a location, searching for and finding hostages and hostage takers, and delivering non-lethal devices that disable the hostage

taker yet have limited or no long term effects. Chemical development will produce non-lethal/no-side effect disabling munitions. Satellite technology may provide communications, location mapping and tactical deployment information and intelligence. Satellites could also provide the ability to remotely disable vehicles, communications systems and the hostage takers themselves. Video/Micro devices may enable the incident commander to monitor all aspects of the tactical situation. They could assist with the timely and proper deployment of personnel and non-lethal weapons and devices. Computers and other smart technologies will provide access to data, people and techniques not currently available. Computers will potentially be capable of talking, reasoning and decision making. Scenario input, tactical philosophy, and operational considerations would be digested by the computer and a recommended course of action made available to the incident commander. Such devices would allow law enforcement to isolate, segregate and incarcerate the hostage taker(s) while protecting the safety of the officers and the victims.

The use of deadly force is, in reality, the driving force behind the entire issue of this study. Society can be expected to continue to question the use of deadly force and to exert some level of control over its use. The acceptable level of force used in any situation will clearly be influenced by the nature of the incident, by the people involved, by the methods and tactics employed by the police and current level of support law enforcement enjoys. Society will expect, even demand, that all possible steps be taken to diffuse the situation before any force, particularly deadly force, is used. Society will still be concerned with the use of deadly force, but will be more receptive to its use after all other avenues are exhausted. This mandate will require that incident commander utilize the techniques and technologies available to him/her in the management of the barricade/hostage situation.

SWAT incident managers, in the year 2002, will more closely resemble the mission commander on a space shuttle mission. They

will be required to manage a more complex command and control system, rely heavily on support personnel and direct the tactical and operational activities of the SWAT team. The status of law enforcement management of the barricade/hostage situation will be that of identifying, acquiring and utilizing the technologies and techniques available for the peaceful and successful resolution of the incident. Incident managers will, by necessity, become more literate in computer use, technological deployment and situational analysis. The decision to utilize technology, diffusion techniques or deadly force must include a consideration of the desired result, societal support and the situation itself. The normative (favored and attainable) scenario, described earlier in this study, provides an image of the barricade/hostage management status by the year 2002.

FUTURE TOPICS FOR STUDY

"For every action there is a reaction." This holds true in all aspects of life. During the course of this study two issues were identified that merit future study. Each of these areas relate to the issue and sub-issues of this research paper.

The concept of Psychological Diffusion/Subliminal Suggestion Techniques may prove to be highly volatile and controversial. The ability to adapt subliminal suggestion to the tactical incident will require a great deal of research and coordination. The legal ramifications of the research and development are many. As stated in this research, civil libertarians could become a major problem for such development. The liability of using such techniques is likewise of great importance. Delivery of psychological techniques and the adaptation of technology to the techniques and their delivery will require close study. Each of these aspects of this subject are viable and credible topics for future study.

The second issue that became apparent is that of liability. As law enforcement forms a coalition in the development and procurement of various technologies, who will bear the responsibility for product liability, civil liability, vicarious liability and general liability. Will the small agency be held

liable for the product of a larger agency. Will the manufacture move out of the picture, while the deep pockets of municipalities are attacked. The concept of liability is a critical factor in the day-to-day operations of police departments. This issue is clearly one meriting future study.

The study of each of these issues will answer some of the questions and fill some of the gaps in the picture of California Law Enforcement in the year 2002.

APPENDIX A

TABLE 4

DURATION OF INCIDENT*

<u>Duration of total episode</u>	<u># of Incidents</u>	
Less than two hours	98	(12%)
2 - 6 hours	152	(19%)
6 - 12 hours	96	(12%)
12 - 24 hours	80	(10%)
1 - 2 days	68	(8%)
3 - 5 days	54	(7%)
6 - 8 days	14	(2%)
greater than 8 days	72	(9%)
Unknown	167	(21%)
	<hr/>	
	801	(100%)

* Source: Hostage Event Analytic Data (H.E.A.D.)

TABLE 5

OUTCOMES - Fate of Hostages *

<u>General fate of hostages</u>	<u># of incidents</u>	
Hostage released, demands met	192	(24%)
Hostage released, demands not met	309	(40%)
Hostage killed, demands met	9	(1%)
Hostage killed, demands not met	41	(5%)
Hostage killed in shootout	3	(>1%)
Hostages wounded by captors	19	(2%)
Hostages wounded during assault	3	(>1%)
Hostage rescued by authorities	82	(10%)
Hostages escaped	54	(7%)
Other	46	(6%)
Unknown	43	(5%)
	<hr/>	
	801	(100%)

* Source: Hostage Event Analytical Data (H.E.A.D.)

APPENDIX B

Telephone Survey Questionnaire

I am conducting a survey for Lt. Gildea, our Department SWAT commander. The information will be used in a report he is writing for the POST Command College. The only data used will be statistics; no names or departments will be mentioned.

- 1) Does your department have a SWAT (type) team? A) Full time or part time.
- 2) Does your Department have a hostage negotiation team?
A) Full time or part time.
- 3) Does your department use a police psychologist during barricade/hostage negotiations? A) If so, does the psychologist negotiate or just monitor and advise?
- 4) Does your SWAT team have its own budget?
- 5) If no SWAT team, does your department contract with another agency for SWAT services?
A) If so, what agency(s) does your department contract with?
B) If not, how does your agency handle barricade/hostage situations? (On-duty personnel/detective call-out, etc.)
- 6) What is your SWAT commander's rank and name? (For Lt. Gildea's information if follow-up information is needed).

Thank you for your help.

APPENDIX C

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APPENDIX D

NOMINAL GROUP TECHNIQUE PANEL MEMBERS

1. Police Captain with SWAT experience
2. Police Lieutenant with SWAT experience
3. Police Lieutenant with SWAT experience
4. Police Sergeant with SWAT experience
5. Police Sergeant with Hostage Negotiation Team experience
6. Police Management Consultant
7. Police Psychologist with Hostage Negotiations Team experience
8. Public Utilities Supervising Special Agent
9. Community College Criminal Justice Program Director

APPENDIX E

TRENDS AND EVENTS LIST

Trends and Events were identified through a variety of means, including, but not limited to: informal discussions, literature scanning, formal interviews, Nominal Group Technique (NGT), subject matter expert interviews, combined with the researchers 24 years of Law Enforcement and 17 Years of SWAT experience. Once a complete list of trends and events was determined, a panel of seven Law Enforcement experts reduced the list to the final seven trends and six events studied herein.

TRENDS

- Occurrence of SWAT consolidation in Law Enforcement agencies
- SWAT use of "less-than-lethal" weapons
- Level of impact of technology on the SWAT environment
- Liability issues of SWAT team use
- Psychological techniques that diffuse situations
- SWAT team training
- Level of focus on SWAT Command tactics
- Level of concern on level of SWAT training
- Robotics used in SWAT incidents
- SWAT use support in society
- Fewer prison beds/more prisoners
- Use of computers in Hostage Negotiations
- Level of technology use training
- Amount of legal intervention impacting SWAT tactical decisions
- Use of computers in tactical situations
- Regional SWAT associations
- Civilian review boards affect SWAT tactics
- Development of non-lethal weapons
- Level of community expectation of SWAT competency and professionalism
- Level of reliance on technology
- Number of cities with existing police departments contracting SWAT services from other agencies
- Terrorist attacks on civilian targets
- Communication technology for SWAT use
- Criminal use of fortified houses
- Criminal use of technology
- Expediting situation handling
- Level of POST commitment to SWAT training
- Legislative changes affect SWAT tactics
- Public debate re: use of deadly force in non-lethal situations
- Budgetary effect on small agency SWAT teams
- Privatization of SWAT teams
- Federal involvement in local SWAT operations

- Civil liability(failure to act/misconduct/act to soon)
- Street gang warfare

EVENTS

- Non-law enforcement individual appointed SWAT commander of a large agency
- Terrorists use chemical/biological weapons in large city
- Terrorists use nuclear weapon
- Supreme Court upholds large civil award against city where SWAT Commander fails to use proper tactics
- Mechanical devise introduced that detects explosives within 100 feet
- Chemical weapon developed that completely disables for 1 minute with no residual side effects
- Terrorists attack major sporting event
- Stock market crashes
- Federal Judge lowers population cap on all state prisons
- Robo-cop type devise developed
- State/Federal intelligence agency established
- Sound wave disabling weapon developed
- Laser weapons replace conventional firearms
- Mexico/America border opened]
- Loran type technology developed for use by individual SWAT members
- Holographic interactive training devise developed for SWAT training
- Budget crisis leads to numerous small agency closures
- National task force on crime orders command level SWAT training
- Major riot results from failure of SWAT team to safely end televised barricade/hostage situation in inner-city
- POST changes manner it funds SWAT training
- Local citizens group forms vigilante committee and begin killing drug dealers
- Legislature mandates level of training for SWAT teams
- Accidental detonation of nuclear devise in urban area
- Radical special interest group seizes nuclear power plant
- State run SWAT teams
- Regionalist SWAT teams
- State run HNT
- Regionalist HNT
- "Civilian only" HNT law passed
- Police psychologist introduces psychological diffusion techniques
- State Supreme Court limits use of deadly force
- Improper HNT techniques result in death of 100's in prison riot

APPENDIX F

NGT Panel - Identification and Definition of Trends

Trend 1 - Development of non-lethal weapons

This trend reflects the research and development of weapon other than firearms that will be available to Law Enforcement. This development is directly related to the technological revolution in military weaponry.

Trend 2 - Fiscal Problems Throughout State

The recession and budgetary problems nationwide and in particular statewide, define the more-for-less expectations of the general public relative to law enforcement budgets.

Trend 3 - Psychological Techniques That Diffuse situations

The development of various mind effecting techniques by the psychological community to diffuse situations without the use of force.

Trend 4 - Societal Support For Use of SWAT teams

This trend reflects the level of or lack of support by society in general for the use of SWAT teams to handle barricade/hostage situations

Trend 5 - Legislative Changes Effect Utilization Of SWAT Teams

The passage of legislation can liberalize or restrict the ability of Law Enforcement to use SWAT teams.

Trend 6 - Terrorist Activity In California

This trend is defined as the volume of terrorism in our state as the result of an increase or decrease in the prevalence of terrorists.

Identification and Definition of Events

Event 1 - Federal Judge Lowers Jail Population Cap Throughout State

This is a ruling by a U.S. District Court of Appeals Judge, which prohibits prison overcrowding and dictates the early parole or release of prisoners throughout the state.

Event 2 - Low Cost 'Robo-cop' developed

A well respected Aero-space corporation, develops and markets a low cost robot which performs many of the jobs and duties of police officers in a more efficient and safer manner.

Event 3 - Lack Of Action By Civilian HNT Results In The Death Of Several Hostages

This event reflects the failure of a civilian HNT to take timely and appropriate action, during a barricade/hostage incident, which results in the death of hostages.

Event 4 - SWAT team kills innocent hostage during barricade/hostage incident being covered live on national television.

Event 5 - Radical Special Interest Group Seizes Nuclear Power Plant

This event involves the takeover of a nuclear power plant by a non-violent radical special-interest group, and the problems inherent with public opinion, potential for nuclear contamination and the non-lethal solution of the incident.

APPENDIX G

MODIFIED CONVENTIONAL DELPHI PROCESS DOCUMENTATION
MODIFIED CONVENTIONAL DELPHI PANEL

Director of Security, Public Utility
Management Consultant, Management development consulting firm
Chief of Police, medium sized police department
Chief of Police, small sized police department
Captain, medium sized police department
Captain, medium sized police department
Captain, small sized police department
Captain, small sized police department
Lieutenant, large sized police department
Lieutenant, medium sized police department
Lieutenant, small sized police department

(MODIFIED CONVENTIONAL DELPHI LETTER #1)

Dear Panel Member,

I am currently involved in my final project for the POST Command College. At the present stage I am working on the futures forecasting section of the paper, which will address the question, "WHAT WILL BE THE STATUS OF LAW ENFORCEMENT MANAGEMENT OF BARRICADE/HOSTAGE SITUATIONS BY THE YEAR 2002?" with sub-issues of:

1. Will psychological diffusion intervention techniques impact the management of barricade/hostage situations?
2. What technological changes will affect the management of the barricade/hostage situation?
3. What level of force usage will be acceptable in the management of barricade/hostage situations?

Attached you will find a list of trends and events that could impact the issue or the sub-issues. This list was identified through research and interviewing subject experts like yourself. The list only includes a select number of trends and events that (1) Will impact the development of management methods and strategies, (2) Will be included in the development of a strategic plan and, (3) can be impacted on a local or regional policy level. While the process appears complicated, I have provided an explanation of the idea of a trend or event. If you have any questions please call be at (714) 960-8800.

I selected the Modified Conventional Delphi process for my futures forecasting methodology. The attached documents are the first of two Modified Delphi rounds. Each should take a few minutes of your time to forecast. Since I am working on a short time line I would greatly appreciate your timely completion of the forms. Please mail them back or FAX (preferably) them to me at (714) 536-2895. I will compile the data and send you the results. That will become the second round of the process. I will ask you

to review the data and decide if you wish to change your first response.

Please evaluate the trends and events based on your personal experience, knowledge and background. Please consider the issue and sub-issues in your analysis.

Instructions For Process

TREND EVALUATION

A trend is a series of related occurrences. Trends are ongoing. When stating a trend it is non-directional (the statement does not imply direction, I.E. increases or decreases or set an opinion). Attachment one is a trend evaluation form. The form asks you to make an estimate on each trend, using the figure 100 for today. The estimates are for five years ago, five years from now and ten years from now. Additionally on the five and ten years from now forecasts you will find a diagonal line. The upper portion is for you to forecast what you think the trend will be and the lower half is for you to forecast what the trend should be or what you would like it to be. An example of a trend forecast follows:

No.	TREND	5 years ago	Today	5 years From now	10 years From now
1	DEVELOPMENT OF NON LETHAL WEAPONS	75	100	125 165	160 275

The forecast reflects that five years ago the development of non-lethal weapons was 75% of development today (100%). The forecaster feels that in five years development will be 125% of today's development and should be or would like it to be 165%. The forecaster projects that ten years from now development will be 160% of today's development and should be or would like it to be 275%. The forecaster clearly forecasts non-lethal weapons development to increase significantly over the next decade, yet the forecaster would like the development to occur more rapidly.

EVENT EVALUATION

I will now ask you to forecast events. Events differ from trends in that an event is a specific occurrence at a specific time and place. While a trend would be a series of alleged uses of excessive force by Law Enforcement an event would be the Rodney King incident which occurred in March 1991 in Los Angeles. Attachment two is an event evaluation form. The events are related to issue and sub-issues. You will be asked to forecast three different things: 1) Years until the probability first exceeds zero (this is your estimation of when, in years from the present,

the probability of the event occurring first exceeds zero. Fractions are acceptable); 2) Probability of occurrence, five years from now and ten years from now(this is your estimation as to the probability that the event will occur at five or ten years from now.

The probability demands a percentage from 0-100%. 0-50% would indicate a likelihood that the event could or could not occur, while 50-100% would indicate that the event has a high probability of occurring. NOTE: the probability of occurrence can not decrease from five to ten years it is cumulative. Thus, if the event is projected to have a 100% probability at 5 years it will stay at 100% at the 10 year time frame); and, 3) Impact on the issue if the event occurred(this is your estimate as to how the event could impact the issue if it occurs. There could be both positive and negative impacts. Using a scale of 0-10, with 10 being the greatest impact possible, rank each event separately). An example of an event forecast follows:

#	EVENT STATEMENT	YEARS UNTIL PROB. EXCEEDS ZERO	PROBABILITY		IMPACT ON ISSUE IF EVENT OCCURS	
			5 YEARS FROM NOW (0-100%)	10 YEARS FROM NOW (0-100%)	POSITIVE (0-10)	NEGATIVE (0-10)
1	FEDERAL JUDGE SETS JAIL POPULATION CAP IN CALIF	2	70	85	4	7

In the example the forecaster believed that the probability of a court mandated jail population cap would not exceed zero until 2 years from now. At the 5 year mark there is a 70% probability and at the 10 year mark an 85% probability. If the event does occur it is projected to have a low level positive impact with a much higher negative impact on the issue.

Thank you for your patience with this process and your assistance with this request. Again, I must ask for your timely response.

Very Respectfully,

Patrick F. GILDEA
Lieutenant
Huntington Beach Police Department

TREND EVALUATION FORM

TREND STATEMENT	LEVEL OF THE TREND (TODAY=100)			
	5 YEARS AGO	TODAY	5 YRS FUTURE	10 YRS FUTURE
1 Military Reductions Result In Ongoing Development Of High Tech/Non-Lethal Weapons And Devises For Law Enforcement Use.		100		
2 Ongoing Recession And Budget Cuts Affect SWAT Teams Throughout The State.		100		
3 Various Psychological Diffusion Techniques Developed For Barricade/ Hostage Situations		100		
4 Civilian Review Boards Occurring Throughout The State To Monitor And Control Police Tactics		100		
5 Privatization Of SWAT Teams As Budget Problems Continue Throughout The State.		100		
6 Numerous Bills Introduced In The State Legislature Relative to Use Of Force And Police Tactics		100		
7 Gang Warfare Affects Public Support for Use of Deadly Force By Law Enforcement		100		

NOTE: When forecasting the TRENDS please consider them on a State-of-California level only.

ENCLOSURE ONE

EVENT EVALUATION FORM

EVENT STATEMENT	YRS TILL PROB + ZERO	PROBABILITY		IMPACT ON ISSUE IF EVENT OCCURS	
		+ 5 YRS (1-100)	+ 10YRS (0-100)	POS (0-10)	NEG (0-10)
1 Federal Judge Orders Jail Population Cap In All State Prisons. Forces Early Release Of Many Prisoners.					
2 Robot Introduced That Is Capable Of Doing Variety Of Dangerous Activities And The Delivery of Weapons					
3 Civilian Hostage Negotiation Team Law Passed. Civilian Only Team Members, Use Of Force(Consensus Only)					
4 Police Psychologist Introduces Subliminal Suggestion Technique To Diffuse Barricade/ Hostage Situations					
5 State Supreme Court Decision Limits The Use Of Deadly Force In Barricade/Hostage Situations					
6 Poor HNT Techniques Result In 100's Dead During SWAT Assault On Prison Riot.Public Wants Federal Invest.					

NOTE: When forecasting the EVENTS, please consider them on a State-of-California level only.

ENCLOSURE TWO

APPENDIX H

Table 6

FORECASTING PANEL TREND EVALUATION

#	Trend Statement (Abbreviated)	Level of The Trend *** (Today = 100)			
		5 yrs Ago	Today	5 yrs ** from now	10 yrs * from now
1	Development of non lethal weapons	75	100	125 165	160 275
2	Budget cuts reduce # of SWAT teams	95	100	75 100	90 130
3	Psychological techn- iques diffuse situa.	80	100	105 140	120 180
4	Societal support for SWAT Team Use	95	100	95 135	105 160
5	Legislative changes effect SWAT tactics	90	100	105 120	120 135
6	Terrorist activity in California	80	100	120 110	135 125

*** PANEL MEDIANS
N = 9

** 5 Yrs from now
"Will be/Should be"

* 10 Yrs from now
"Will be/Should be"

Table 7

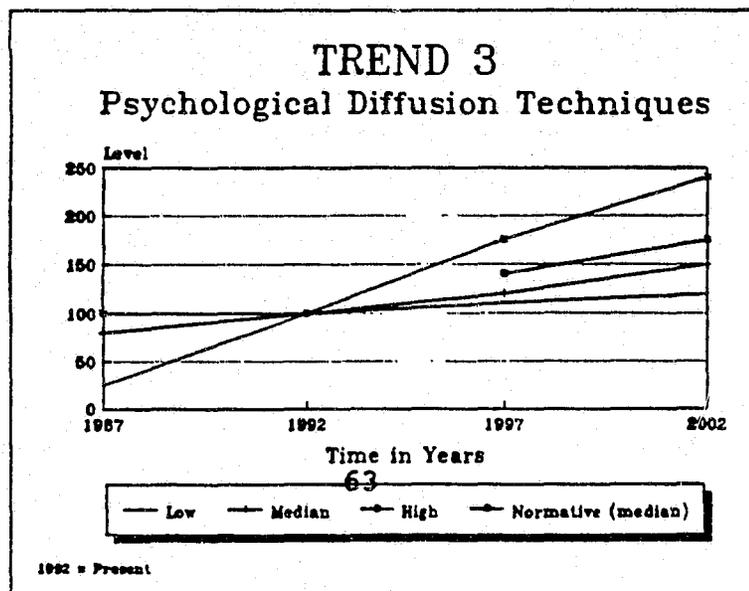
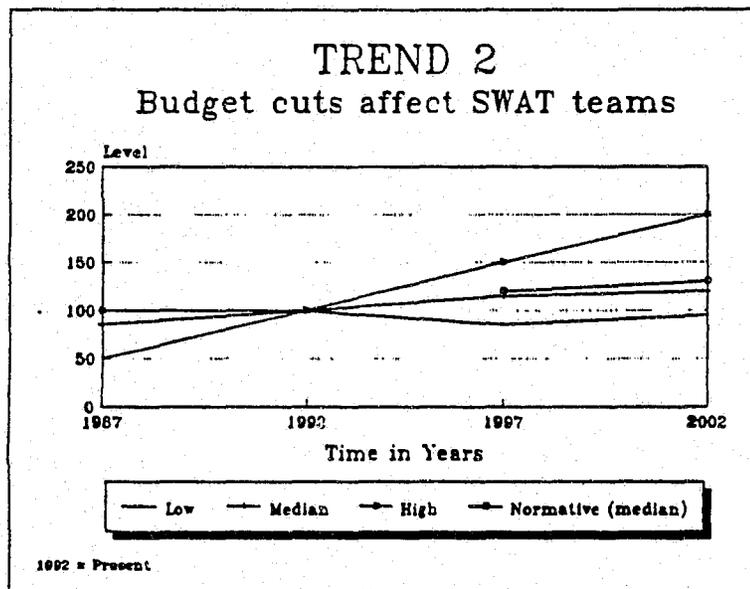
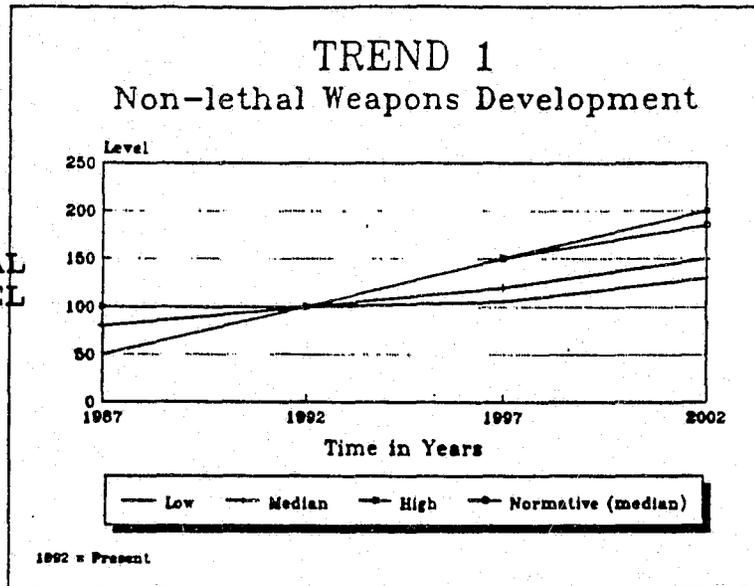
MODIFIED CONVENTIONAL DELPHI FORECASTING PANEL
TREND EVALUATION

#	Trend Statement (Abbreviated)	Level Of The Trend *** (Today = 100)			
		5 Yrs Ago	Today	5 Yrs ** From Now	10 Yrs * From Now
1	Non-Lethal Weapon Development	80	100	120 150	150 180
2	Budget Cuts effect SWAT teams in Calif	80	100	115 120	120 130
3	Psychological diffusion techniques	80	100	120 140	150 170
4	Civilian reviewboard monitor/control SWAT	90	100	125 110	150 120
5	Privatization of SWAT	50	100	100 100	100 100
6	Legislative Bills on Use of Force	75	100	150 125	180 145
7	Gang Warfare Affects Use Of Force Support	80	100	150 150	200 180

*** PANEL MEDIANS ** 5 Yrs From Now * 10 Yrs From Now
N = 11 "Will be/Should be" "Will be/Should be"

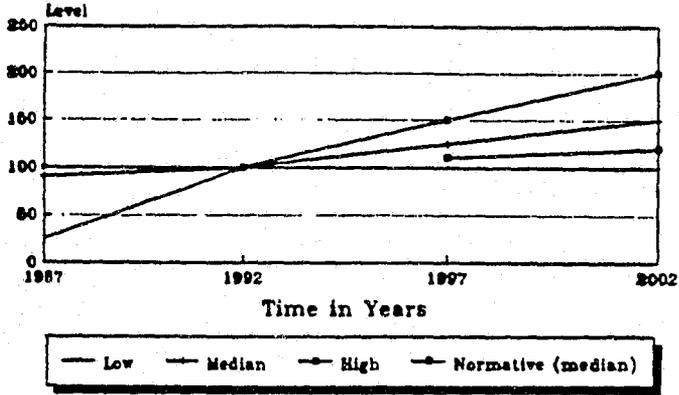
APPENDIX I

**TREND
EVALUATION
GRAPHS
MODIFIED
CONVENTIONAL
DELPHI PANEL
N = 11**



TREND 4

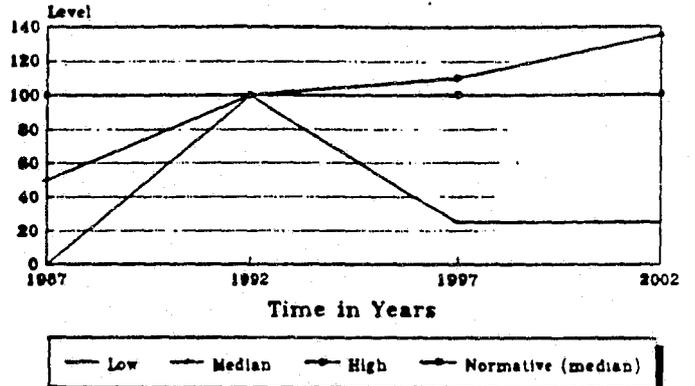
Civilian Review Boards Monitor Police



1992 = Present

TREND 5

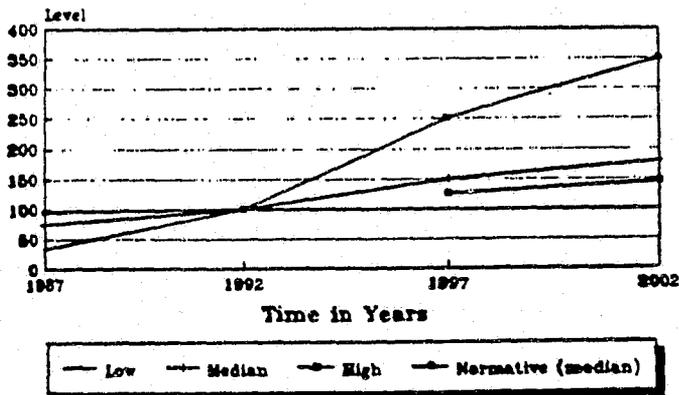
Privatization of SWAT



1992 = Present

TREND 6

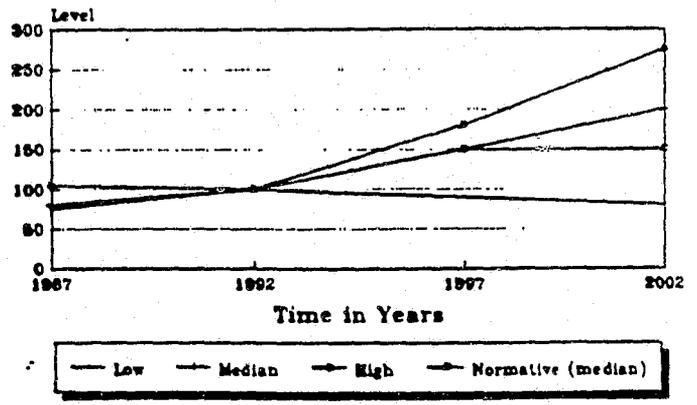
State Legislature - Use Of Force Bills



1992 = Present

TREND 7

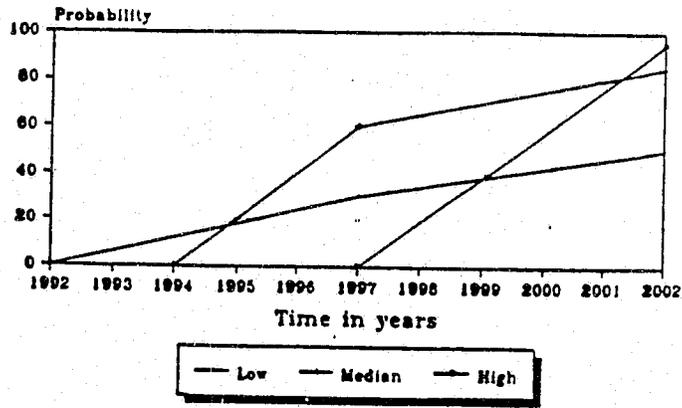
Gang Warfare Affects Public Support



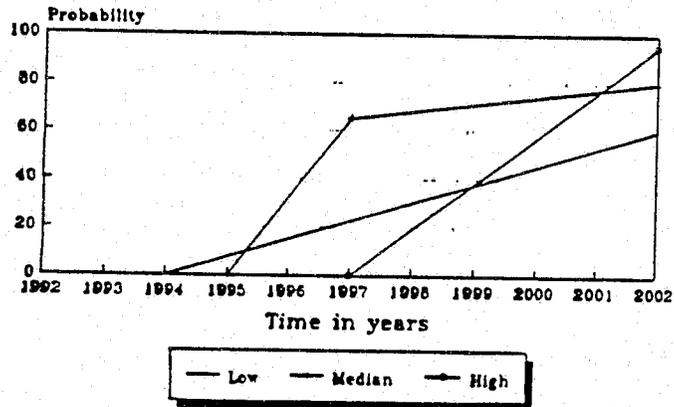
1992 = Present

EVENT
EVALUATION
GRAPHS
MODIFIED
CONVENTIONAL
DELPHI PANEL
N = 11

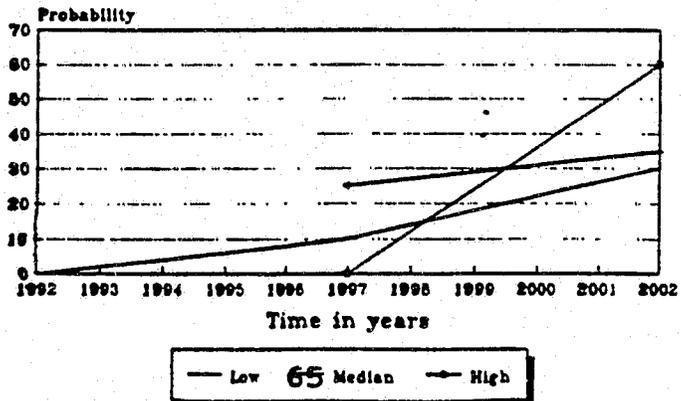
EVENT 1 Federal Judge Orders Jail Cap



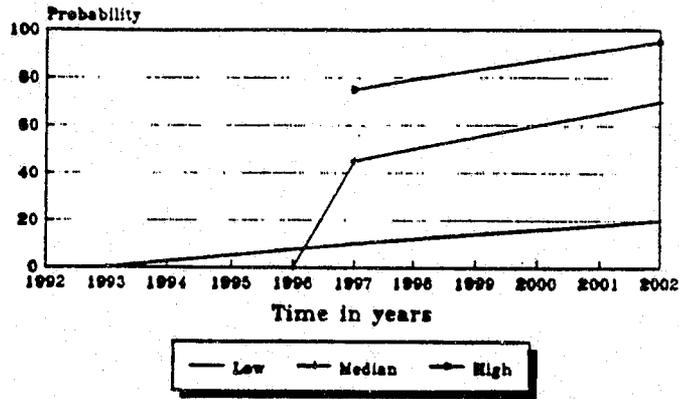
EVENT 2 Police Robot Introduced



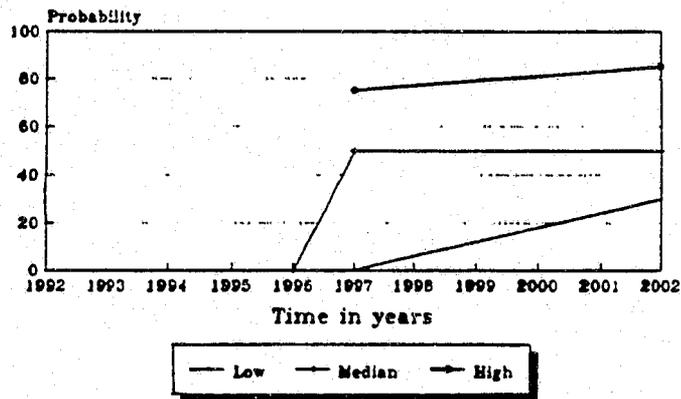
EVENT 3 Civilian HNT Law Passed



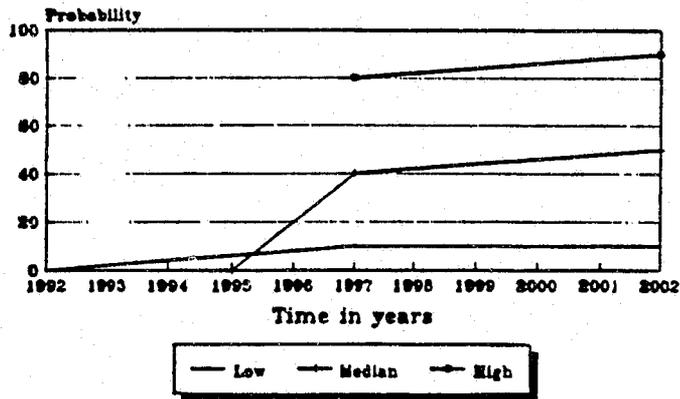
EVENT 4 Subliminal Suggestion Technique Intro



EVENT 5 Court Limits Use Of Deadly Force



EVENT 6 100's Dead in Prison Riot



APPENDIX J

TABLE 8

FORECASTING PANEL EVENT EVALUATION TABLE

EVENT	PROBABILITY			IMPACT	
	Yr exceeds zero	By 1997 (0-100)	By 2002 (0-100)	+ 0-10	- 0-10
1. JAIL CAP ORDERED	2	70	85	4	7
2. ROBO-COP	5	40	70	8	0
3. CIVILIAN HNT	5	45	70	8	6
4. 3rd SWAT SHOOTING	2	45	75	3	8
5. NUC TAKEOVER	5	50	70	4	7

NOTE: THESE FIGURES REPRESENT THE PANEL MEDIANS

N = 9

TABLE 9

MODIFIED CONVENTIONAL DELPHI FORECASTING PANEL
EVENT EVALUATION CHART

EVENT	PROBABILITY			IMPACT	
	Yr exceeds zero	By 1997 (0-100)	By 2002 (0-100)	+ 0-10	- 0-10
1. JAIL CAP ORDERED	2.5	60	85	3	8
2. POLICE ROBOT	3	65	80	8	1
3. CIVILIAN HNT LAW	5	25	35	1	8
4. SUBLIMINAL SUGGESTION TECHNIQ.	3	45	70	8	2
5. COURT LIMITS USE OF FORCE	4	50	50	2	8
6. 100's DEAD IN PRISON RIOT	3	40	50	2	9

NOTE: THESE FIGURES REPRESENT THE PANEL MEDIANS

N = 11

APPENDIX K

TABLE 10
CROSS-IMPACT ANALYSIS MATRIX

(Panel Medians) N = 5														(%Change + or -)
***	E1	E2	E3	E4	E5	E6	T1	T2	T3	T4	T5	T6	T7	*Impact Totals
E1***	X	+20	-40	0	-30	+20	0	+30	0	-30	+30	+20	+30	9
E2	0	X	-20	+20	+40	-30	+70	+30	+50	-25	+25	+30	+30	11
E3	0	+20	X	+20	-30	-70	+25	-30	+15	+30	-15	+25	-30	11
E4	0	-30	+25	X	+70	-50	-30	-25	+75	-20	-25	+30	0	10
E5	-30	-35	+50	-30	X	-60	+75	+40	+35	+30	+20	+75	-40	12
E6	+40	0	+30	+20	+60	X	+65	-15	+15	+45	-10	+55	0	10
	E1	E2	E3	**Impacted Totals			T1	T2	T3	T4	T5	T6	T7	
	2	4	5	4	5	5	5	6	5	6	6	6	4	

*Actor Events

**Reactor Events

*** Legend: E1-Federal Judge Orders Jail Cap, E2-Police Robot Introduced, E3-Civilian HNT Law Passed, E4-Subliminal Suggestion Technique Introduced, E5-Court Limits Use Of Deadly Force, E6-100's Dead In Prison Riot, T1-Non-Lethal Weapons Development, T2-Budget Cuts Affect SWAT Teams, T3-Psychological Diffusion Techniques, T4-Civilian Review Board Monitors Police, T5- Privatization Of SWAT, T6-State Legislature Introduces Bills On Use Of Force, T7 Gang Warfare Affects Public Support

APPENDIX L

The panel identified a number of Stakeholders and Snaildarters relative to the issue. Below is a list of the Stakeholders/Snaildarters with positive and negative assumptions listed for each:

1. Orange County Chiefs Association
 - a. will support new technology and psychological techniques
 - b. concerned with civil liability
 - c. concerned with cost of new technology
 - d. may oppose regionalist SWAT teams
 - e. will support R & D for new technology
2. Orange County Sheriff/Coroner
 - a. will support new technology and psychological techniques
 - b. concerned with civil liability
 - c. concerned with costs of new technology
 - d. will support regionalist SWAT teams
 - e. will support R & D for new technology
 - f. will push for control of regionalist SWAT teams
3. American Civil Liberties Union(ACLU) (Snaildarter)
 - a. will challenge technological developments as excessive and unnecessary
 - b. will oppose psychological research and the development of subliminal diffusion techniques
 - c. will challenge SWAT concept
 - d. will challenge L.E. networking
 - e. will challenge SWAT training techniques
4. City/County Administrators
 - a. concerned about civil liability
 - b. concerned with cost of new technology
 - c. could lack understanding of need for SWAT
 - d. concerned only with the 'big picture' of the budget process
 - e. effected by special interest groups
5. Criminals (Snaildarters)
 - a. will support court intervention and restrictive legislation
 - b. will support ACLU position
 - c. will take advantage of new technology while using profits of criminal activity to finance same
 - d. will not have to answer to budget controllers
 - e. will fear technology in police hands
6. Courts
 - a. concerned with rights of defendants
 - b. concerned with rights of victims
 - c. case decisions could restrict SWAT
 - d. case decisions could help SWAT
 - e. will support SWAT use

7. Local Law Enforcement Agencies
 - a. will support new technology R & D
 - b. will oppose regionalization of SWAT
 - c. will be concerned with liability
 - d. will be concerned with cost of technology
 - e. will attempt to take advantage of new technology
 - f. must educate city/county administrators on SWAT
 - g. will support inter-agency training and mutual aid
8. Media
 - a. will generally support SWAT technology R & D
 - b. will sensationalize SWAT operations and tactics
 - c. will directly influence public opinion of SWAT
 - d. will have an impact on other Stakeholders
 - e. will try to 'expose' techniques and technologies
9. Local Politicians
 - a. will generally support SWAT
 - b. will question cost of new technology
 - c. will question need for new technology
 - d. will be influenced by special interest groups
 - e. may need education on SWAT operation.
 - f. will question priorities of budget process
 - g. will be concerned with civil liability
10. SWAT Team Members
 - a. will generally support SWAT technology R & D
 - b. will facilitate and assist with R & D
 - c. may resist change
 - d. may promote change
 - e. will require education/training relative to new technologies
 - f. will question priorities of budget process
 - g. will be concerned with civil liability
11. Taxpayers
 - a. will generally support SWAT concept
 - b. will question cost of new technology
 - c. will question need for new technology
 - d. will be influenced by the media
 - e. will require education relative to SWAT
 - f. will influence politicians
 - g. will resist tax increases
 - h. could support state/federal funding
 - i. could be strong force, pro or con, for expenditure of tax monies
12. Victims
 - a. will expect latest technology to expedite safe release
 - b. will generally support SWAT operations
 - c. will be fearful of injury or death
 - d. may succumb to the Stockholm Syndrome
 - e. will influence public opinion

13. Weapons Manufacturing
 - a. will work toward development of SWAT weapons
 - b. will solicit current and future needs
 - c. will support and lobby for the procurement of new technology
 - d. may oppose new/different technology of competitors
 - e. may assist with financial procurement sources
14. Technological Research And Developers
 - a. will work toward development of SWAT weapons
 - b. will solicit current and future SWAT needs.
 - c. will support and lobby for the procurement of new technology
 - d. could be effected by current world situation
 - e. will adapt military technology to SWAT use
15. HNT Association
 - a. will assist with psychological diffusion R & D
 - b. will seek priority at budget time
 - c. could oppose regionalist SWAT
 - d. could support regionalist HNT
16. Federal Bureau of Investigation (FBI)
 - a. will support SWAT operations
 - b. will assist with technological R & D
 - c. will assist with advanced training
 - d. will provide logistics for psychological diffusion R & D

APPENDIX M

The WOTS-UP process involved two different assessments: the first was the examination of the external environmental factors that could impact on Orange County Law Enforcement's capability to deal with the strategic issue. Logically, the second was an assessment of the organizations internal environment. "Threats" and "opportunities" are external in the environment, while "strengths" and "weaknesses" are internal in the organization. A "weakness" is a fault, defect or limitation within an organization that may impede the attainment of objectives. An "opportunity" is any situation which is favorable to the proposal. A "threat" is any unfavorable situation. A "strength" is resource or capability used to accomplish a goal.

WOTS-UP ANALYSIS LIST

Weaknesses

- * tight budget
- * resistance to change
- * slow change
- * lack of consistency within county
- * command turn-over/change in philosophy
- * low priority for SWAT

Opportunities

- * non-lethal weapon development/availability
- * robotics development/availability
- * psychological diffusion techniques
- * laser technology
- * regionalist SWAT associations
- * strong public support
- * narcotics seizure funds
- * State/Federal grants

Threats

- * liability issues
- * negative press/media
- * court/legislative limits on L.E.
- * increase in terrorism
- * expense of constant technological changes
- * ACLU attacks on narcotics asset seizure process
- * Prop 13 type measures

Strengths

- * strong support for SWAT/HNT
- * progressive attitude at executive level
- * politically active organization
- * cooperation between county agencies
- * strong SWAT commanders association

APPENDIX N

Table 11
STAKEHOLDER ASSUMPTION MAP

		CERTAIN					
		7F					
	12A	2B	10F	9E			
		4A	1B		1A 2A	1C	
		7C			7A 16C		4B 2C
				3A 3B		5C 7D	
							11F
	13D	6A	6D	15A			
	14D	6B	13A	14A	16B	11D	
	14E		14F	3D	9C		
5B	10C	12B		5D 4D	9B		
		11E					
	11A	11B	16A				
			8A	10B			
	8C	8B			13B	14B	
			7E				
LESS	5A	8D			6C		MORE
IMPORTANT						IMPORTANT	
	15B		5E				
	15C	10D	9A	4E			
	11C		2D				
			1D				
12C		9D			3C		
	10E						
			4C				
			7B				

UNCERTAIN

**Note: These numbers/letters represent the positive and negative assumptions for each Stakeholder/Snaildarter as listed in Appendix M

APPENDIX O

ALTERNATIVE STRATEGIES LIST

1. Establish a county wide task force responsible for technological development of SWAT weapons.
2. Establish regional SWAT teams.
3. Establish regional Hostage Negotiations Teams.
4. Develop state mandated SWAT equipment requirements.
5. Legislate minimum criteria for use of SWAT teams.
6. Establish High-Tech procurement task force.
7. POST to develop strict SWAT tactics training program.
8. Conduct liaison with American Civil Liberties Union(ACLU) and American Bar Association(ABA) to establish parameters of legality for psychological diffusion techniques.
9. Establish county SWAT Commanders Association.
10. Dedicate SWAT personnel to provide assistance in evaluation and testing of new SWAT technology.
11. Obtain bond issues for hi-tech equipment purchase.
12. Establish statewide SWAT tactics and information exchange computer system.
13. Establish a lobby at the State and Federal levels for research, development and funding of latest SWAT technology.
14. Municipal contracting for county SWAT/HTN services.
15. Contract with private agency for HNT services.
16. Establish liaison between SWAT teams and private enterprise.

The following three strategies were selected from the above list. Each selected strategy includes a brief description with a listing of pros and cons.

Alternative Strategy #1

The committee would conceptualize, identify and evaluate the needs of SWAT teams. The committee would facilitate the fulfillment of SWAT needs with technology advances. This would be accomplished through the committees organizational

resource base and regional contacts. This same resource and contact network could assist in lobbying for increased funding of research and development for advanced technology. While the committee would identify the technology for SWAT utilization, the problems of procurement and the cost of technology would not be addressed.

Pros:

- *** Will establish a strong network
- *** Result is standardization of technology
- *** Get various cities working together
- *** Reduce redundancy in equipment
- *** Establish strong lobby for L.E.
- *** Focused purpose
- *** Strong expertise base

Cons:

- *** Could result in power struggles
- *** No method of procurement established
- *** Limited \$ available
- *** Organizational difficulties
- *** Big agency vs small agency
- *** Bureaucracy problems

Alternative Strategy #2

This task force would be charged with the responsibility of identifying the best, current and anticipated technology for SWAT team use. The task force would concurrently identify and develop funding sources for the procurement of the technologies selected. The task force would require a cooperative effort from all members of the Chief's Association.

Pros:

- *** Provide equipment outside of the budget process
- *** Fulfill shortcoming of technology identification committee
- *** Allow small departments to use same equip as large departments

- *** Establish consistency throughout county
- *** Enhance community support
- *** Focused purpose
- *** Frees up \$ for other L.E. needs
- *** Continual update as technology changes

Cons:

- *** Failure would seriously impact technology identification committee
- *** Funding sources could cause conflict of interest
- *** Obtaining 100% buy in by Chief's
- *** Overcoming individual Department preferences
- *** Big department vs small department
- *** Organizational difficulties
- *** Lack of dedicated funds

Alternative Strategy #3

The computer system would be available to all police organizations in the state. The system would foster the exchange of information regarding tactics, training and technology. This information exchange would facilitate the identification of SWAT needs as well as create a source of information for research and development of new technology.

Pros:

- *** Adaptable to current computers
- *** Good communication between all SWAT teams
- *** Regional as well as state level communications
- *** Provides basis for identifying future technology needs
- *** Whole state kept up to date on state of the art equipment
- *** Expert input

Cons:

- *** Not necessarily organized effort toward issue
- *** No specific leadership
- *** Slave to individual agency input
- *** Level of utilization unknown

APPENDIX P

TABLE 12

STAKEHOLDER AND ASSUMPTION ANALYSIS

STAKEHOLDERS	ALTERNATIVES		
1. O.C. CHIEF'S ASSOC	NEUTRAL	SUPPORT	SUPPORT
2. O.C. SHERIFF/CORONER	NEUTRAL	SUPPORT	SUPPORT
3. ACLU **	OPPOSE	OPPOSE	OPPOSE
4. CITY/COUNTY ADMIN	NEUTRAL	SUPPORT	NEUTRAL
5. CRIMINALS **	OPPOSE	OPPOSE	OPPOSE
6. COURTS	NEUTRAL	SUPPORT	NEUTRAL
7. LOCAL L.E. AGENCIES	SUPPORT	SUPPORT	SUPPORT
8. MEDIA	NEUTRAL	NEUTRAL	NEUTRAL
9. LOCAL POLITICIANS	NEUTRAL	SUPPORT	NEUTRAL
10. SWAT TEAM MEMBERS	SUPPORT	SUPPORT	SUPPORT
11. TAXPAYERS	NEUTRAL	SUPPORT	NEUTRAL
12. VICTIMS	SUPPORT	SUPPORT	SUPPORT
13. WEAPONS MANUFACTURER	OPPOSE	SUPPORT	NEUTRAL
14. TECH R & D PEOPLE	OPPOSE	SUPPORT	NEUTRAL
15. HNT ASSOCIATION	SUPPORT	SUPPORT	SUPPORT
16. FBI	SUPPORT	SUPPORT	SUPPORT

** SNAILDARTERS

APPENDIX Q

1. County committee to identify and develop SWAT technology

Such a committee would allow L.E. to get involved in the process at the inception of technology. This involvement would allow the users to work with the technology from the ground up. Cooperation on a county level would engender better communications and support at all levels in the SWAT community. This same cooperation would have a positive impact on the procurement process as well as the information, tactics and technology network established at the state level.

2. County high-tech procurement task force

This alternative is not only consistent with the mission and it's relationship to the issue, but it will indirectly facilitate many of the expectations of alternatives 1 & 3. This alternative is best suited for long term success. This is based on the critical need for a coordinated and consistent process for the equipping of SWAT teams on a county wide basis. The task force's objectives would be to provide the necessary tools and equipment to insure success in the barricade/hostage situation.

3. Statewide SWAT tactics/information exchange computer

The need for a coordinated system of information exchange within the state is critical to across-the-board resolution of the issue. As L.E. begins to safely manage incidents the support from the public will grow. The seriousness of this type of incident receives a great deal of attention with the media and the general public. Law Enforcement needs to build this data base and learn from the successes and failures of others. This learning will have a synergistic effect on support, tactics, techniques and training. The most critical aspect of this system will be the exchange of information relative to research and development in the area of psychological diffusion techniques.

APPENDIX R

Step 1 - Recognizing the Necessity For Change

- ** Review of past ten years of Barricade/Hostage incidents in the county
- ** Review of changes in tactics, training and equipment
- ** An assessment of current capabilities
- ** An assessment of potential improvements
- ** An assessment of the need for change
- ** Making a recommendation as to the strategies that could address the needs
- ** Acceptance of this recommendation by the Chiefs' Association

Timeline for this step will begin immediately and be completed within six months.

Step 2 - Preparation For Change

- ** Identification of transition project manager by the Chiefs' Association
- ** Selection of representatives from various departments, the community and private industry to complete the transition management team.
- ** Budgeting for project costs
- ** Dedication to personnel
- ** Chiefs' Association to meet with transition management team to provide direction and marching orders.
- ** Establishment of a communications medium to promote the process and reduce uncertainty.

Timeline will begin at conclusion of step one and be completed in one year.

Step 3 - Implementation

- ** Collective input to be obtained from SWAT personnel throughout the county.
- ** Committee and task force initiate partnership with private industry .
- ** Computer data base system to be established.
- ** Technology procurement and distribution will be initiated.
- ** Equipment function and training will begin with local training academies.
- ** SWAT information exchange system will be established.
- ** Psychological diffusion research and development, information exchange system setablished.
- ** Establishment of an evaluation process to review Barricade/Hostage situation resolution, identify and address unforeseen problems and provide feedback to the Chiefs' Association.

Timeline will begin at the conclusion of step 2 with completion projected for two years after start-up.

APPENDIX S

Technological developments and non-lethal weapons

Technological development has occurred at a rapid pace, providing Law Enforcement with a variety of state-of-art equipment. This is clearly an opportunity, as development would include non/lethal weapons and devices. Any weapon of this type would afford SWAT managers a viable tool for the successful, non-lethal, solution of the barricade/hostage situation.

Public attitude/scrutiny

The attitude of the public toward the SWAT operation is critical to continued support and sanction. While scrutiny is often uncomfortable, awareness normally insures proper and acceptable tactics by law enforcement. This scrutiny provides a form of checks and balances. This public awareness and scrutiny will necessitate a process of informing and educating the public by law enforcement. Without this process, a non-supportive public would present a clear threat to the issue.

The media

The media could play a significant role in the success or failure of law enforcement's efforts to manage the barricade/hostage situation. Often times a single incident or related series of events will polarize the media and provide a forum for unrelenting attacks or support for law enforcement. The media could prove to be a catalyst for the development and deployment of alternative equipment or methods of operation. This catalyst might take form as political pressure, public rebuke or support, or simply force police administrators to rethink their policies and procedures. In the environment of the issue, the media would be considered a threat, since their norm usually is to high light the negative vs the positive.

Court rulings restricting deadly force use in barricade/hostage situations

Such rulings would be considered by most to be a threat to law enforcement, yet some might consider them to be an opportunity. While this type of ruling restricts, such parameters would likely reduce the potential for deadly confrontations. The significance of the ruling and its level of restriction would determine its effect on the issue.

Psychological diffusion techniques

The development and use of a diffusion technique would present a unique opportunity to law enforcement. The ability to convince the hostage taker to surrender without the use of force would be the ideal. The use of hypnotic or subliminal suggestion is not without opponents however. Civil libertarians are not willing to sanction their use, even in this forum.

Liability issues

Law Enforcement exists in a "litigious society" wherein civil liability is slowly choking our court system to death. Whenever deadly force is used any number of law suits can be expected to follow. Any discussion on tactics, equipment, policy and procedure must include a clear understanding of the liability issues involved. These issues often act as the deciding factor in the decision making process. Liability issues are clearly a threat to the issue. This threat manifests itself in the form of civil litigation and its skyrocketing fiscal impact on cities, counties and state organizations.

Fiscal support

While all of Orange County is experiencing fiscal constraints, society is still willing to finance public safety. This willingness is presently viewed as an opportunity. Should the economy continue to falter and more demands are placed on the budget, this opportunity could evolve into a threat.

APPENDIX T

Regional SWAT Associations

The forming of an Orange County SWAT Association would be viewed as a strength. Through such an association the level of training would improve. Likewise the consistency of deployment, equipment procurement and use would be enhanced. Through the regionalist association inter-agency assistance and mutual aid would be facilitated. These cooperative efforts would strengthen the ability of SWAT managers/commanders to manage the barricade/hostage incident.

Orange County Chiefs of Police Association

The cooperation within the county in most areas of law enforcement has been without precedent. The county is widely recognized as progressive, well trained and well equipped. Public safety is a priority in the county. Overall, Orange County officers are the highest paid in the state. The benefits, working environment and standard of living are second to none in the entire country.

While Orange County is at the forefront in personnel, training and equipment, the crime rate is increasing. The gang problems of Los Angeles are starting to appear in parts of the county. With the gang problems comes the related crimes. The use of firearms has steadily increased over the past several years and officer involved shootings has mirrored this increase.

Orange County has a strong Chief's Association, that provides excellent leadership and cooperation for all agencies in the county. The philosophy of the association is one of openness and cooperation. The leadership of the association is clearly a strength.

Orange County Sheriff/Coroner

The Sheriff/Coroner of Orange County is a highly visible, politically connected individual. The Sheriff's Department provides contract law enforcement services for a number of unincorporated communities and one incorporated city within the county. The Sheriff/Coroner has frequently taken a different tact than Orange County Police Departments, relative to law enforcement training and tactics. The interests of the Sheriff/Coroner are often times contrary to the rest of the County's police agencies and this has resulted in conflict in the past. While the Sheriff/Coroner might support a regionalization of SWAT, the question of control would be

raised. The willingness of several of the more powerful police Chief's in the county to give such control to the Sheriff/Coroner is not likely. Similarly, these Chief's have demonstrated this propensity toward protectionism in their sanction and support for the Criminal Justice Training Center at Golden West College.

APPENDIX U

TABLE 13
RESPONSIBILITY CHART

ACTION	ACTORS					
	CHIEF HBPD	SHERIFF OC	PROJ MGR	SAPD SWAT	ACADEMY DIRECTOR	DIRECT. TANOC
MISSION STATEMENT	A	A	R	S	--	I
SELECT TRANS. MGT TEAM	A	A	R	I	--	I
DEVELOP OVERALL PLAN	A	A	R	I	I	S
INTRO PLAN TO OCCA	R	S	I	--	--	--
INTRO PLAN TO OCSCA	S	S	R	S	I	--
ACADEMY TRAINING	S	I	I	I	R	--
ESTABLISH BUDGET	A	I	R	I	--	S
PRESS/MEDIA RELEASES	I	I	R	--	--	S
PROGRESS RPTS TO OCCA	R	I	S	--	--	--
PROGRESS RPTS TO OCSCA	I	I	R	S	--	--
MONITOR PROGRAM	A	S	R	--	--	S

R - RESPONSIBILITY (Not Necessarily Authority)
 A - APPROVAL (Has Right to Veto)
 S - SUPPORT (Commit Resources Toward)
 I- INFORM (Will be consulted)

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