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ABSTRACT

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THE IMPACT OF URBANIZATION THROUGH ANNEXATION AND INCORPORATION  
ON RURAL NORTHERN CALIFORNIA SHERIFF'S DEPARTMENTS  
BY THE YEAR 2002

by

DAVID L. DENNIS  
COMMAND COLLEGE CLASS XV  
PEACE OFFICER STANDARD AND TRAINING (POST)  
SACRAMENTO, CALIFORNIA  
JANUARY, 1993

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Abstract

This document consists of two parts: Journal Article and Technical Report. The Article focuses on a strategic plan outlining specific strategies to deal with the issue, conclusions and recommendations. The Report consists of three sections: a futures study of the impacts of urbanization on rural Northern California sheriff's departments by the year 2002; a model strategic plan; a transition management plan. Five trends will increase in ten years: annexation and incorporation, open land conversion, contracting, job duty focus, and related gang crimes. High probability events that would impact urbanization are: city annexes 20% of sheriff's patrol area, small city incorporates, light rail opens, building moratorium passed by voters, and pro-growth county supervisor elected. Policy recommendations stress political opposition to loss of service area and development of alternative service markets. The model strategic plan includes universal concepts and specific implementation systems. The transition management plan describes a management structure for transition and supporting technologies. Appendixes include endnotes, study instruments, and bibliography.

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

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

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

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## THE IMPACT OF URBANIZATION ON RURAL NORTHERN CALIFORNIA SHERIFF'S DEPARTMENTS BY THE YEAR 2002

Northern California rural counties (those with resident populations of less than 200,000) are facing a serious challenge they cannot afford to ignore. Governments in foothill counties such as Placer, El Dorado, and Nevada are confronting a future which may see them literally "growing" out of existence. As urban crime and other factors drive more and more people to seek new beginnings in the "country", rural county populations continue to increase at a feverish pace.<sup>1</sup> Several rural counties in Northern California are projected to increase over 66% by the year 2010. Placer County, located east of Sacramento County, is expected to gain 66.8% new residents by that year. El Dorado County, located on the southern border of Placer County is projected to grow 71.3% by the end of the first decade of the new century.<sup>2</sup> Dramatic population growth accelerates an escalating trend: new city incorporation and the annexation of county jurisdiction by existing cities.<sup>3</sup>

While these political actions create booming economies for new and expanding cities, they spell certain doom for rural county agencies. As cities take over the counties' most prolific business districts and residential developments, they also take away the life blood of their tax bases.

Historically structured to contend with relatively small and widely dispersed populations in large undeveloped areas, such counties are frequently ill equipped to deal with the onslaught of "urbanization." Derived from the root word "urban", Websters Collegiate Dictionary defines the term as, "to cause to take on urban

characteristics." It is further defined as, "the buildup of commercial and residential zones and resultant loss of territory to new and existing cities." These losses of jurisdiction create severe financial hardships for county agencies who depend primarily on dwindling tax bases to maintain staff and purpose.

Northern California rural sheriff's departments are also feeling the effects of urbanization. Designed to deal with large areas of unincorporated and undeveloped territory with small populations and little crime, sheriff's departments are not accustomed to coping with sudden increases in serious crimes and competing with new and growing cities for funding and jurisdiction.

Recent statistics revealed that Placer County has experienced a 32% increase in crime over the past ten years with El Dorado and Nevada counties following closely behind with 22% and 18% respectively.<sup>4</sup> In Placer County, a study conducted in conjunction with a Major Corrections Needs Assessment (1986 - 1991) revealed that felony booking had increased an average of 40% and involved violence, drugs, and/or alcohol in most of the cases. In terms of race, Caucasian offenders comprised 88% of the arrests, 7% were Latinos, Native Americans 2%, African Americans were arrested in 2.5% of the cases, and Asians totaled .5%. 94% of those arrested were males between the ages of 18 and 35.<sup>5</sup> Three of the larger cities in the target counties (Roseville in Placer, Placerville in El Dorado, and Grass Valley in Nevada County) logged a 10 - 15% increase in the those crimes directly attributable to youth gangs (violence, vandalism, auto theft, etc.).<sup>6</sup>

Traffic congestion has also increased in all the study counties. Placer County



is currently addressing (in their Master Plan) the need for more traffic lanes and thoroughfares to deal with the expanded flow of vehicles. Nevada County has recently completed a new freeway addition near Grass Valley/Nevada City to deal with increased traffic flow.

In terms of demographic changes, all three counties have experienced growth in the twenty-four to forty-five year old age group (7 - 9% average for the three study counties). The second largest group is children ages 7 to 9 years.<sup>7</sup> This is indicative of those established families leaving the cities for less urban environments.<sup>8</sup> While the majority of the population increases presently involve Caucasians, planners in the three counties anticipate a dramatic rise in the number of Hispanic inhabitants in the next five to ten years.<sup>9</sup>

A recent study by the staff of U.S. Senate Judiciary Chairman Joseph Biden, revealed that, "rural American counties are suffering a plague of violent crime, drug trafficking and drug abuse which has overwhelmed many small agencies' ability to cope".<sup>10</sup> This investigation documents only one of many changes and impacts these agencies face as a result of urbanization. Ultimately, these problems will force many departments to either adapt, be reduced, or potentially eliminated in favor of more efficient and innovative forms of law enforcement.

## **BUSINESS STRATEGIES**

The author believes the time has come for county law enforcement agencies to begin functioning more like commercial industry and less like non-profit organizations dependant on the public coffers for financial support. This will require

rural agencies to begin developing business strategies which will help fund their activities and offset dwindling financial resources. While few other county departments have the ability to develop long range funding programs, sheriff's departments do.

An article by Peter A. Harkness in the October, 1992 issue of Governing Magazine considers some of the "re-inventions" of government that have been successfully undertaken by rural and small urban agencies to offset the failing economy. These ideas are further documented in a book written by David Osborne and Ted Gaebler titled, Reinventing Government: How the Entrepreneurial Spirit is Transforming the Public Sector. In their best selling publication, the authors delve into the innovation occurring in state and local government. Osborne and Gaebler write that "the times require institutions that are flexible and adaptable, that can offer a wide array of non-standardized services, that treat constituents like customers and employees as if they were the owners of their programs." It is this kind of innovative thinking that rural sheriff's departments must adopt to stay competitive in the future.

## **ADAPTATION**

In order to remain competitive with city law enforcement agencies and other county departments, rural sheriff's departments must adapt to a changing world. To continue as viable members of the law enforcement community, rural sheriff's departments can no longer afford the "business as usual" approach. They must recognize that they are now in competition with other departments and jurisdictions for limited county resources. To survive, rural sheriff's departments must develop

other sources of funding for new and existing programs.

Restrictive laws and policies that prevent the pass-on of costs associated with state mandated programs and other activities (jail booking and incarceration fees, licensing and inspections, etc.) directly benefitting cities must be changed. Antiquated regulations and outdated procedures must be renovated to reflect the future state of county business.

### **POLITICAL ACTION**

Faced with dwindling tax bases due to loss of territory, rural sheriff's departments are finding it increasingly difficult to continue supplying quality service and meet the demands placed upon them by a burgeoning population. These problems add to the list of causes resulting in the loss of political jurisdiction to local municipalities who lure residents with promises of increased and improved services. Sheriff's departments must become politically active and develop strategies to confront the many challenges that threaten to engulf them. They will be forced to adopt proactive and innovative methods of dealing with these impacts or be relegated to a second class position in county law enforcement.

To examine the impacts of urbanization on rural sheriff's departments, the author conducted a study of the central issue. The following text details elements of the Futures Study focusing on specific strategies formulated to address the changes which occur if projected trends continue and forecasted events occur.

## **FUTURES STUDY**

In order to examine the issue of the impact of urbanization on rural Northern California sheriff's departments in an organized and effective manner, an in-depth study was completed. Three rural Northern California counties (Placer, El Dorado, and Nevada), were identified as representative of these political subdivisions.

The process identified sub-issues, causative factors behind the impacts, and potential methods of dealing with them. A search of existing literature, discussions with known experts on the subject, and group exercises developed information about the emerging trends which appear to be the basis of the issue. A set of potential events was formulated to determine their effect (positive or negative) on the trends and the issue if they occurred. The trends and events projected to have the most impact were studied as potential targets for policy action. Policies were then formulated that are designed to guide the agency in dealing with the future impacts of the most active trends and events.

Once the policies were formalized, a Strategic Plan was developed to create and implement strategies reflecting the spirit of the policies. The plan identifies a specific strategy which will help the department deal with the impacts. The remainder of this article will examine the Strategic Plan and specifically the strategy that was developed to deal with the effects of urbanization.

## **STRATEGIC PLAN**

One of the fundamental responsibilities of the plan is the identification of the department's mission. A mission statement primarily outlines the goals of the

department. In the case of the study agency, the mission of the Placer County Sheriff's Department is simply, "The Placer County Sheriff's Department is dedicated to providing quality law enforcement and public safety services to the residents and visitors in our county."

With these goals in mind, the organization was examined to determine what policies must be formulated to achieve the mission. The environment was then analyzed to determine what internal and external threats, opportunities, strengths and weaknesses existed which might affect the department's ability to accomplish the mission. After that task was completed, the agency was evaluated to determine its present and future capability in relation to the stated mission.

## **ISSUE STAKEHOLDERS**

Once the departmental examination was complete, a list of "stakeholders" were identified who were considered to have concerns about the central issue (the effects of urbanization). The list included the sheriff, county public employee organizations, county board of supervisors, police departments, city councils, developers, environmentalists, business owners, citizens, large land owners, and private security firms.

A "snaildarter" was also identified (a person or group who could radically impact any chosen strategy) as the local taxpayer's organization. A list of assumptions that the group of stakeholders was thought to hold was also compiled and charted using an "assumption map" (Appendix A). The map charts the stakeholder's assumptions in terms of importance/unimportance, as well as how

certain or uncertain the author is that these assumptions are held. The most important assumptions in relation to the issue are: the Board of Supervisors will certainly wish to retain control over county departments; citizens are very certain to have the desire for increased and better services; taxpayer organizations are certain to want to decrease taxes and fees, have more service at less cost, and to limit county budgets. These assumptions must be considered and dealt with when working with any of the involved parties.

## **STRATEGY DEVELOPMENT**

A group of individuals using the Modified Delphi Process generated a list of alternative strategies which could be used to accomplish the department's mission. After the list was compiled, it was narrowed to three, using a rating process. The process involved rating the individual strategies in the categories of Desirability Short-term, Feasibility, Cost, Desirability Long-term, and Stakeholder support. The strategies were scored using a rating of 4 for "High Appeal", to 1 for "Low Appeal." The rating process reduced the list to three strategies, and ultimately to one which contained the elements of all three.

The group felt that the combination of elements would be the most effective in dealing with the variety of impacts facing rural departments, and generate the most stakeholder support. The following section details the chosen strategy.

## **STRATEGIC STRATEGY - COMPONENTS**

The selected strategy is divided into components. They can be instituted by

an agency separately or as a group, depending on how the immediate and future need is viewed. While the components are numbered consecutively, all are "stand alone" elements and capable of being instituted in any order, at any time.

Component I consists of contracting with other agencies and private business. This involves the utilization of sheriff's department staff to perform various law enforcement related activities. Contracts could include general law enforcement services, hazardous materials disposal, high tech crime investigations, gang and narcotic task forces, "target hardening" training (making premises and persons less vulnerable to crime), security inspection services, and a variety of other activities especially suited to law enforcement personnel. Since contracts with private enterprise could involve large numbers of sworn staff, this component also includes seeking formal partnerships with other local police agencies to help provide the services.

Component II involves the "commercialization" of the sheriff's department. This essentially is a method of furnishing specialized services to the general public. Such activities might include fingerprint and photo identification services for adults and children, supplying clerical services to local businesses, supplying prisoner labor to both public and private entities, mass produced goods by jail inmates, laundry and food service by jail inmates, training classes by department personnel on hunter and gun safety, personal safety, home and business security, driving safety, and others. All such services would be billed at competitive rates with other similar commercial enterprise.

Component III is "generating revenue through service" by members of the

sheriff's department. This includes direct charging of the customer/user for non-traditional police services (such as report copies, "for insurance purposes only" crime reports, traffic accident documentation fees, prisoner booking and incarceration costs, response to false burglary and robbery alarms on businesses and residences, etc.).

## **STRATEGY PROS AND CONS**

Prior to the introduction of any strategy to deal with the impacts of urbanization on rural sheriff's departments, a thorough examination of the benefits and drawbacks has to be completed. The strategy must be investigated to determine if the advantages of the particular strategy component outweighs any potential negative (disadvantages) elements.

### **Contracting for Law Enforcement Services - Component I**

The advantages to this component of the strategy lie in the potential revenues generated. It also includes the retention or addition of staff to deal with increased duties. Additional advantages are the entrepreneurial contacts and potential for increased contract arrangements with public agencies and private businesses. This component also includes partnerships with other local law enforcement agencies. These agreements could enhance the sheriff's department's standing in the county as well as create a better working relationship with other police departments.

The disadvantages consist of potentially losing sight of role definition; (ie, becoming less public and more private oriented law enforcement due to the availability of funds), and the possibility of reduced public funding due to increases in private



monies. Another weakness may develop from the political ramifications of complaints by private businesses who have been impacted by department activities. Their concerns about "unfair business competition" may give rise to legal actions attempting to prevent the sheriff's department from engaging in the competitive activity.

### **Commercialization & Fee Based Services - Components II and III**

One of the major advantages of this strategy is the potential for an increase in funding to offset reductions in public budgets. The supplying of services may create more interaction between law enforcement and the public, increasing communication and cooperation. Commercialization could conceivably open new service markets for the department which would create more flexible assignment of staff. The fee based service may also allow the department to retain or augment personnel due to increased funds. The negative elements include a potential for becoming a fee, rather than service based law enforcement agency; (ie., the perception that members of the department will not serve unless they are paid first), public distrust, and the possibility for corruption in furnishing services; (ie, the highest bidder receives the best service).

### **STAKEHOLDERS**

Before any strategy can be successfully instituted to address the impacts of urbanization, the involved "stakeholders" must be convinced that it is appropriate and necessary. In addition to the list of stakeholders, "snaildarters" must be dealt with. In this case, the local taxpayers organization was recognized as filling this role. The

author believes that this group has the potential of having a very positive or negative effect on any such strategy depending on how they are dealt with. Once all the stakeholders were identified, they were studied to attempt to determine what perception they may hold about the strategy elements.

## **STAKEHOLDER PERCEPTIONS**

The contracting element of the strategy may engender a perception by the public (taxpayer organizations, citizens) that the department has "sold out" to private industry. It is thought that they may believe that their concerns will not be considered in policy and decision making. Political entities are forecast to harbor similar concerns since funding for such projects will be generated by the contract parties rather than through the normal budget process. They may be concerned that public monies and manpower will be used for private purposes or gain. Private business should welcome the opportunity to obtain quality law enforcement for their business interests. Private security companies will not support this strategy and may seek civil action to prevent what they perceive as an infringement of their enterprise.

In regard to the commercialization and fee based elements, the public are presumed to support the supplying of professional services (commercialization), but will object to user fees as double charging for services. They may also perceive the fee based operations as a potential for corruption. Public officials may view the increase in fee funding as justification to reduce budget allocations to the department. Private enterprise, and their employee groups, will believe that the department is unfair competition to those businesses competing for similar markets.

Considering all these perceptions, care must be taken to deal with all stakeholders in a manner that will give the strategy the most support and decrease the potential for opposition from those who may disagree.

## **NEGOTIATING ACCEPTANCE OF THE STRATEGY**

Although the author believes that all elements of the strategy are equally important, attention must be given to the concerns of stakeholders who hold a different view. As with all plans, common sense and flexibility must be used when dealing with the various parties involved. Negotiations with those who may be impacted must be held prior to any attempt at instituting elements of the plan. Negotiating groups must have the authority to make minor adjustments in the plan's components and be prepared to do so in order to meet the concerns of stakeholders if the necessity arises. The following information outlines the elements of the strategy and some of the actions necessary to "sell" its components.

Each phase of the strategy involves different stakeholders. A plan to gain acceptance of Component I (contracting), must include educating the public regarding the cost of supplying services and decreasing public budgets. Since other county law enforcement agencies will hopefully be partners in any contact activities, they should be invited to become involved in the preliminary steps taken to promote the strategy. This may also require assistance from a professional marketing group and/or financial advisors. It also includes gaining the support of employee groups, who must be made aware that the funding will help offset budget decreases, thereby helping to retain

staff and positions. The cost, type, and format of contracts are the only negotiable items in this phase of the strategy.

Component II (commercialization) and III (fee based service) approval will require employee acceptance for reasons similar to Component I. The "commercial" elements of Component II are not negotiable, nor are the primary elements of Component III. It will also be necessary to convince the public that contracting for services is an opportunity to obtain funding for staff and materials, etc., through sources other than county taxes. The services of a professional marketing group should again be used to present potential clients with equitable and cost effective programs.

Negotiators dealing with snaildarters must be cognizant that the taxpayers' group represents a large portion of the county population and can be devastating to the strategy if their acceptance and support is not obtained. Negotiating strategies should include educating the group on the potential for decreasing the agency's dependency on public tax monies. Since many active members of taxpayer groups are also local business owners, and large contributors to county taxes, they are usually well versed in the way public funds are utilized. While this fact can potentially be detrimental to negotiations, it also can be positive if negotiators are prepared to produce hard data on the declining revenues and urbanization's impact on county agencies.

As explained in the text, strategy stakeholders are one of the most important considerations for those who have to institute and manage the strategy components. Without their acceptance and support, the strategy is destined for failure.

## **CONCLUSIONS**

### **ISSUE**

What impact will the urbanization of rural counties through annexation and incorporation have on Northern California sheriff's departments by the year 2002?

### **SUB-ISSUES:**

1. How will sheriff's departments deal with annexation and incorporation efforts?

Becoming politically active through the creation of formal lobbying groups will help departments resist new annexations and incorporations in their counties. Recognizing the potential impacts and forming policies to offset them will also assist Northern California sheriff's departments in coping with any negative aspects of these political actions.

2. What methods are available to address the impact of annexation or incorporation?

The strategies detailed in the Strategic Plan all have the potential of helping county agencies to address the impacts (both positive and negative) of urbanization through annexation and incorporation.

3. How will rural sheriff's departments adapt as a result of these impacts?

If rural departments are to survive in the future, they will become flexible and open to new and innovative methods of dealing with the various impacts

of urbanization. Maintaining rigid structures of management and style will only serve those who wish to gain from the loss of area and staff by county sheriff's departments.

## **ISSUE FINDINGS**

The Futures Study developed a Strategic Plan through a series of tested processes and identified a specific strategy to deal with the impacts of urbanization and answer the issue and sub-issue questions. The components of the strategy are reviewed below:

**1. CONTRACTING - With other agencies and private business.** This component of the strategy involves the utilization of sheriff's department staff to perform various law enforcement related activities. Contracts could include general law enforcement services, hazardous materials disposal, high tech crime investigations, gang and narcotic task forces, "target hardening" training (making premises and persons less vulnerable to crime), security inspection services, and a variety of other activities especially suited to law enforcement personnel.

Contracting with other political entities and private business for law enforcement services has helped many county and city law enforcement agencies increase revenues and maintain staff. A recent telephone survey by the author revealed that of fifteen rural Northern California county sheriff's departments contacted, twelve had some limited form of contract agreement

with other agencies (special districts, U.S. Forest Service, private cattle and lumber companies, etc.) or private business.<sup>11</sup> Contracting is also a legitimate method of increasing a department's influence and involvement in the community.

**2. COMMERCIALIZATION - Furnishing specialized services to the general public.**

Such activities might include fingerprint and photo identification services for adults and children, supplying clerical services to local businesses, supplying prisoner labor to both public and private entities, mass produced goods by jail inmates, laundry and food service by jail inmates, training classes by department personnel on hunter and gun safety, personal safety, home and business security, driving safety, and others.

Historically, law enforcement agencies throughout the country have been giving themselves away" by providing many ancillary services to the public without passing on the associated cost.

**3. FEE BASED SERVICES - Generating revenue through service by members of the**

**sheriff's department.** This includes direct charging of the customer/user for non-traditional police services (such as report copies, "for insurance purposes only" crime reports, traffic accident documentation fees, prisoner booking and incarceration costs, response to false burglary and robbery alarms on businesses and residences, etc.). Many city police departments have traditionally charged for such services and are currently increasing their fees to

cover increasing cost. County sheriff's departments, however, have been reluctant to do so fearing voter dissatisfaction. A recent telephone survey of fifteen rural Northern California sheriff's departments by the author revealed that only 10% charged even minimal fees for such services with few even contemplating a change in that policy.<sup>12</sup>

The study forecasts a potentially bleak future for rural county sheriff's departments if forecasted trends continue and selected events occur. While it can be argued that not all negative events will occur nor existing trends continue into the future, declining revenues and reductions in jurisdiction already face some rural agencies. New and existing cities will continue to absorb county jurisdiction with little hope of the trend declining or reversing by the year 2002. This fact alone should sound a warning to departments who wish to remain static and continue "business as usual" tactics.

While a complete change to profit motive activities is not recommended, the author believes that departments whose policies and procedures embrace the spirit of the strategy will find themselves more responsive to new and original methods of dealing with the consequences of urbanization.

The strategy elements are practical methods of helping departments deal with the future negative impacts of urbanization. Their successful application will help offset the effects of urbanization and create additional potential for other innovative areas of service. Rural agencies must adapt to the changing world and institute new and inventive strategies in order to survive.



The study has shown that if they wish to remain viable, rural sheriff's departments have to look beyond tradition. As public funds decrease, departments must stop trying to breathe new life into tired old methods of doing business. They have to develop creative and innovative ways of funding existing and new programs in order to remain dynamic members of the 21st century county law enforcement community.

### **RECOMMENDATIONS FOR FUTURE STUDY**

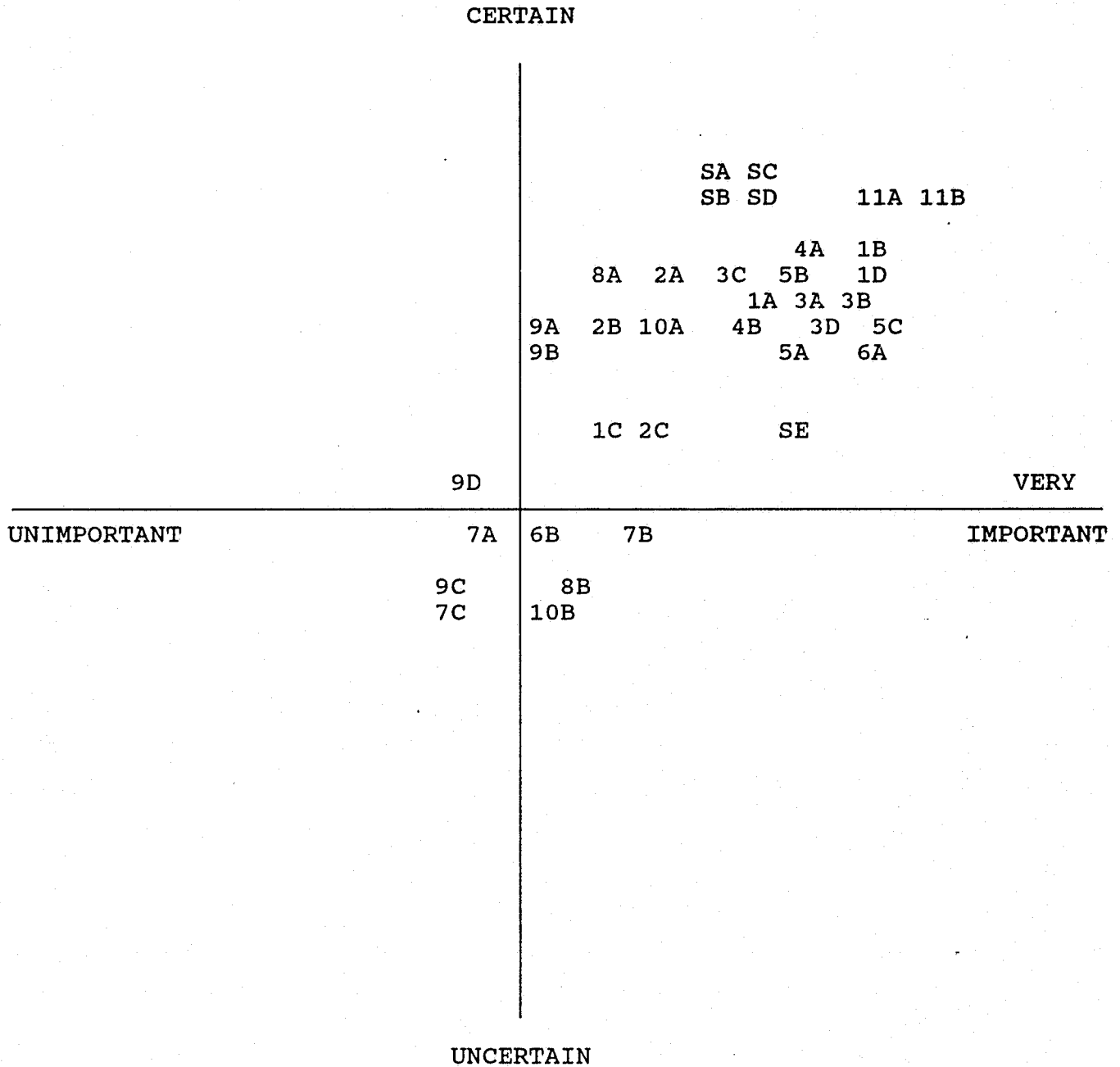
The writer's study examined the impacts to rural Northern California sheriff's departments caused by the loss of jurisdiction to new and existing cities. The migration of people from crowded urban areas to less populated counties is considered the primary motivating factor behind these impacts. While the migration trend was verified through an extensive literature and media search, due to time and other constraints, the various social, political, and other factors which created the conditions for it were not examined in great detail.

The motivation behind the formation of new cities and the annexation of area by existing ones was also left for future analysts to investigate. It is recommended that any future study of this issue consider these factors and examine how they interact to create the climate for such a shift in population and change in governmental structure.

**APPENDIXES**

APPENDIX A

**STRATEGIC ASSUMPTION SURFACING TECHNIQUE**



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DEAL WITH THE IMPACTS OF URBANIZATION  
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**David L. Dennis**

**January, 1993**



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I would like to thank the Commission on Peace Officer Standards and Training for sponsoring the Command College and giving me the opportunity to attend. I believe that the program will be a positive influence on law enforcement in California.

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I owe a special debt to my secretary, Suni Hans, and Supervising Dispatcher Matron C. Kelly Atchley for helping me put it all together and keeping me sane while doing so.

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## INTRODUCTION

Following a growing trend, many Californians are leaving crowded crime ridden cities to live in Northern California rural counties. A study completed by the Sierra Economic Development District over the past ten years shows Northern California rural counties growing dramatically as a result of the movement of people from larger northern cities.<sup>1</sup> A recent report by the California State Department of Finance determined that Northern California's rural counties (those with resident populations of less than 200,000) grew by 5.1% in 1991 and were the fastest growing of all the state's counties.<sup>2</sup> As northern urban residents move to the "exurbs" (suburbs of suburbs) they continue to flood into rural counties in greater numbers. The trend, called "empty nesting", is slowing growth in older suburbs and shrinking populations in more urban areas.<sup>3</sup> If current trends continue, an increase of 42.7% on average is projected in rural Northern California county populations by the year 2010, with two (Placer and El Dorado counties) increasing over 66%.<sup>4</sup>

Unfortunately, those leaving urban areas due to crime and crowding bring with them many of the same conditions. As the rural counties' populations grow, so do their problems. Many such counties' infrastructures are ill equipped to deal with the sudden increase in population, crime, traffic, and contending with new and existing cities seeking additional tax revenues.

Placer County has experienced a 32% increase in crime over the past ten years with El Dorado and Nevada counties following closely behind with 22% and 18% respectively.<sup>5</sup> In Placer County, a study conducted in conjunction with a Major

Corrections Needs Assessment (1986 - 1991) revealed that felony booking had increased an average of 40% and involved violence in most of the cases. The socio-demographic characteristics broke down as follows: Caucasian offenders comprised 88% of the arrests, 7% were Latinos, 2% were Native Americans, African Americans were arrested in 2.5% of the cases, and Asians totaled .5%. 94% of those arrested were male.<sup>6</sup>

Traffic congestion has also increased in all the study counties. Placer County is currently addressing (in their Master Plan) the need for more traffic lanes and thoroughfares to deal with the expanded flow of vehicles. Nevada County has recently completed a new freeway addition near Grass Valley/Nevada City to deal with increased traffic flow.

In terms of demographic changes, all three counties have experienced growth in the twenty-four to forty-five year old age group (7 - 9% average for the three study counties). The second largest group is children ages 7 to 9 years.<sup>7</sup> This is indicative of those established families leaving the cities for less urban environments.<sup>8</sup> While the majority of the population increases presently involve Caucasians, planners in the three counties anticipate a dramatic rise in the number of Hispanic inhabitants in the next five to ten years.<sup>9</sup>

Northern California rural sheriff's departments are also feeling the effects of this population shift. A recent study by U.S. Senate Judiciary Chairman Joseph Biden's staff revealed "small town America is suffering a plague of violent crime, drug trafficking and drug abuse."<sup>10</sup> Historically structured to deal with large areas of

unincorporated and undeveloped territory, relatively small populations and little crime, sheriff's departments are not accustomed to dealing with sudden increases in serious crimes and competing with new and growing cities for funding and jurisdiction. These agencies are destined to face many changes and impacts as a result of urbanization (the buildup of commercial and residential zones and resultant loss of territory to new and existing cities). Ultimately, these changes will force many departments to either adapt, be reduced, or potentially eliminated, in favor of more efficient and innovative agencies.

### **FUNDING OF SERVICES**

As rural counties grow, the need for additional public services also increases. While there is a provision in most counties' regulations that residential and commercial developers pay for additional fire protection and other public services such as new schools and public utilities, there is no such requirement for the increased cost of law enforcement. This creates a disparity in the manner and degree of county sheriff's funding. Instead of additional funding being paid in advance by developers, as it is with fire protection, sheriff's departments must wait for the individual properties to be sold and developed, then compete with other county departments for property tax funds.<sup>11</sup>

Unfortunately, the need for increased police services usually occurs long before sufficient funds are available to pay for them. Since the cost to provide overall law enforcement is spread over the entire county, beginning developments do not normally generate sufficient revenues to pay for their increased need. This means that the

county's general budget fund must provide the monies to pay for the additional services. As a result, other county departments with budgets derived from the general fund are reduced in order to pay for exigent police services. Coupled with the ongoing reduction in state and federal funding of county programs<sup>12</sup> and the loss of jurisdiction to cities, these conditions have caused fierce competition and animosity to develop between competing agencies. Sheriff's departments are not accustomed to dealing with sudden increases in serious crimes and competing with new and growing cities for funding and jurisdiction. This places them at a distinct disadvantage when faced with the multitude of problems associated with urban growth.<sup>13</sup>

#### **THE ISSUE AND SCOPE OF THE STUDY**

This project is limited to addressing the impact of urbanization through annexation and incorporation on rural Northern California Sheriff's Departments by the year 2002. Placer County, a mountainous Northern California county will be used to illustrate how through Future Forecasting, Strategic Planning, and Transitional Management, law enforcement can deal with the impacts of urbanization in the future. Therefore, the main issue and sub-issues to be explored in this study are:

**ISSUE**      What Impact Will the Urbanization of Rural Counties Through Annexation and Incorporation Have on Northern California Sheriff's Departments by the Year 2002?

#### **SUB-ISSUES**

- How will sheriff's departments deal with annexation and incorporation efforts?

- What methods are available to address the impact of annexation or incorporation?
- How will a rural sheriff's department adapt as a result of these impacts?

## **THE STUDY FORMAT**

The study will consist of three sections:

### Introduction/Background

In this section, a brief background is laid describing the issue as it applies to law enforcement.

### Section One: A Look at the Future

Relevant trends and events that will impact the issue and sub-issues will be identified. The most important trends and events will be forecasted and a cross-impact analysis conducted. From the data developed three possible scenarios depicting the "Exploratory", "Normative" and "Hypothetical" future will be forecasted.

### Section Two: A Strategy for the Future

Focusing on one of the scenarios a strategic plan will be developed which will identify a plan that will allow law enforcement to positively impact the future regarding the issue. Placer County will be the main organization used to develop and implement this plan. A "mission statement" will be



prepared to define the future goals of law enforcement. Organizational policies will be defined followed by an implementation plan. Methods for negotiating the successful implementation of this plan will also be discussed.

### Section Three: Managing the Transition

This section explains how the organization will get "from here to there". Key individuals will be identified and their responsibilities and level of commitment charted. Implementation strategies will be developed.

In order to study the impacts of urbanization on rural sheriff's departments in Northern California, a literature search was conducted of local and regional newspapers as well as publications dealing with the issue. The Sacramento Bee as well as the San Francisco Chronicle, Roseville Press-Tribune, Auburn Journal, and the Tahoe World newspapers were the basis of this element of the literature scan. Publications used as reference are listed in the attached bibliography. To substantiate some of the information gained from the readings, the El Dorado, Placer, and Nevada County Chambers of Commerce were contacted for verification of the data.

To limit the parameters, Northern California rural counties having resident populations of 200,000 or less will be the focus of this study, although the identified trends and events could conceivably occur in rural sheriff's departments statewide. The study commences with the scanning process. In general, this activity involves the gathering of data about the environment external to the organization. From this, relevant bits of information are gathered into a Futures File.

This file consists of a collection of selected articles relevant to the external and internal environment of the organization. For the purposes of this study, they are broken down into the following categories: social, technological, economic, environmental, and political (S.T.E.E.P.). These topics were further refined by gathering data on areas of regional and local importance, with emphasis given to growth and political activities affecting one Northern California sheriff's department (this department is representative of rural Northern California sheriff's departments which face future urbanization).

After a thorough examination of the data concerning the primary issue, three sub-issues were identified. The three sub-issues were: (1) How will sheriff's departments deal with annexation and incorporation; (2) What methods are available to address the impact of annexation or incorporation; and, (3) How will rural sheriff's departments adapt as a result of these impacts. These sub-issues were found to be invaluable for structuring and limiting this study relative to the main issue. A Nominal Group Technique Panel was convened and identified a list of key trends and events which have significant potential to impact the issue area. A hypothetical ("feared but possible") scenario was developed incorporating the trends and events most likely to bring about this possible future. Although this "negative", or worse case scenario was chosen for study, emphasis was placed on formulating policies designed to create positive change and prevent this hypothetical scenario. As a result, several policies were developed which will achieve that goal.

## **STRATEGIC PLAN**

A strategic plan was then formulated to achieve the desired future which was

identified in Part I of the study. Part II of the study is divided into phases and identifies a specific law enforcement agency which the author believes is representative of rural Northern California Sheriff's Departments.

Phase I examines the target agency's situation in relation to the issue. Phase II investigates the department's capability to deal with the impacts of the issue. Phase III develops alternative strategies for dealing with the impacts of the issue and Phase IV outlines an implementation plan for instituting the selected strategy.

### **TRANSITION MANAGEMENT**

This final component of the study will focus on the development of a transition management plan to implement contracting, commercialization and fee based services in the sheriff's department. The plan will address the development of a commitment strategy, the management structure to be employed during the change, and a listing of technologies and methods which may be employed to support implementation of the change.

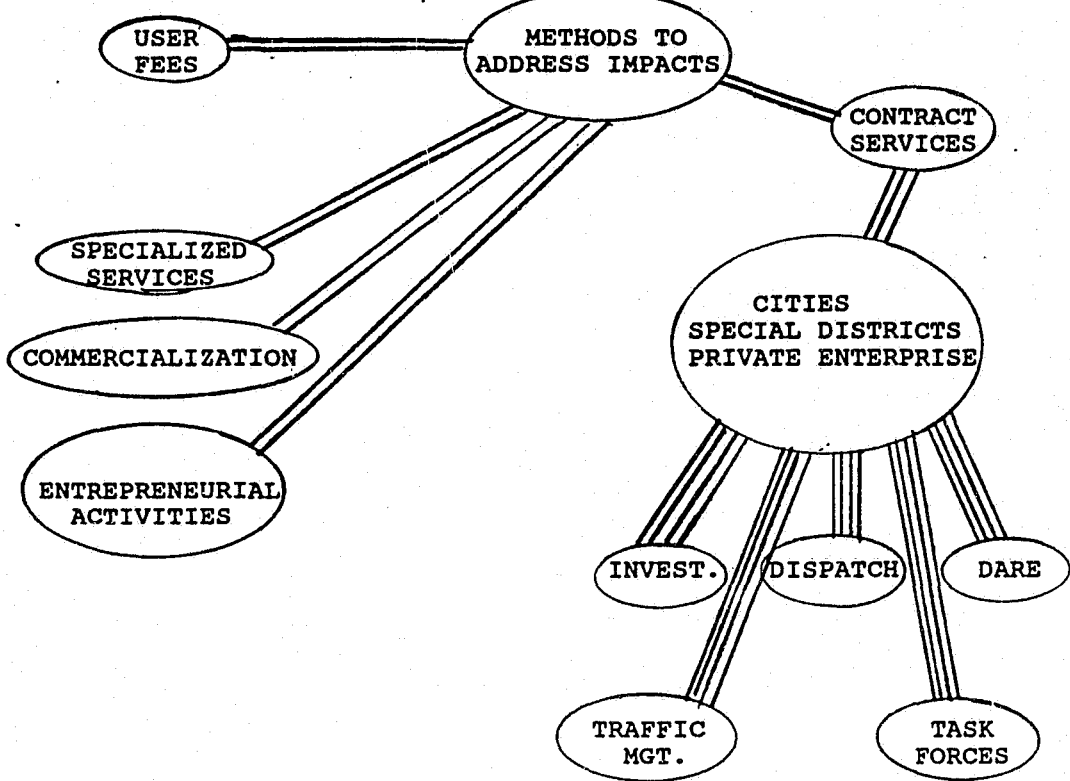
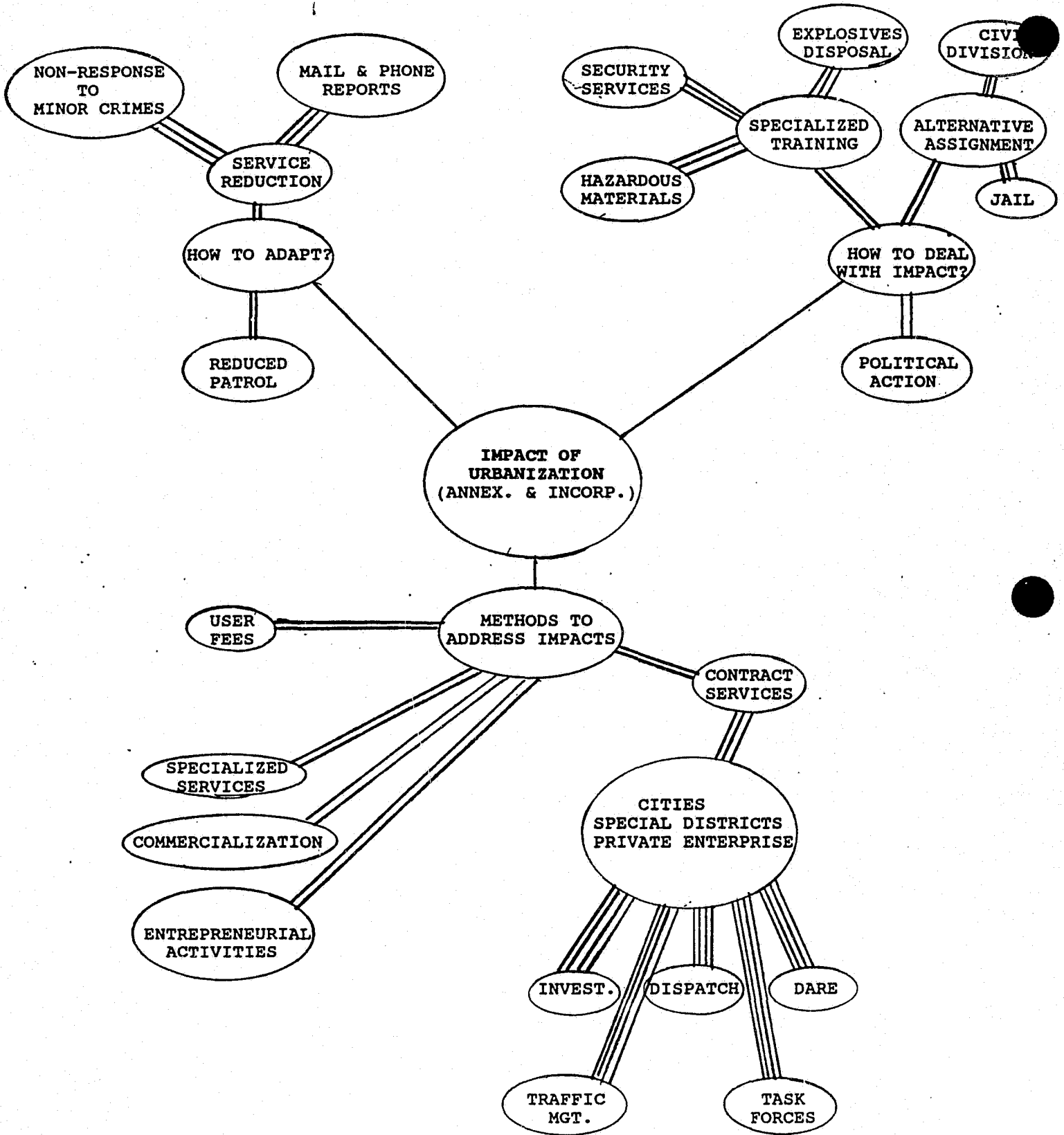
## **SECTION ONE - A Look at the Future**

**"What Impact Will the Urbanization of Rural Counties Through Annexation and Incorporation Have on Northern California Sheriff's Departments by the Year 2002?"**

## FUTURES WHEEL

In order to facilitate a more refined definition of the subject area, a Futures Wheel was constructed to identify potential trends and events associated with urbanization's impact on rural sheriff's departments. A Futures Wheel is constructed by identifying a central topic or issue. This is placed in the center of the page. Relevant ideas that come to mind are then listed and connected to the main issue as spokes on a wheel. The wheel is intended to promote the generation of many ideas and formulate creative connections between them.

# FUTURES WHEEL



## **NOMINAL GROUP TECHNIQUE**

A Nominal Group Technique Panel was established to further identify and refine the trends and events generated from the Futures Wheel. The Nominal Group Technique, or NGT, involved ten individuals from many fields and was designed to obtain a prioritized list of trends and events. The technique is useful in generating a concise list of those which will impact the issue area. (Appendix A lists panel members.)

The following list of 12 trends was identified by the NGT Panel in the initial process.

### **TREND SELECTION**

- Level of Annexation and Incorporation of Unincorporated Areas
- Amount of Farm Land Conversion to Housing Tracts
- Level of Population in County
- Amount of Open Land Conversion to Light Industry and Residential Developments
- Level of Gang Population and Related Crimes in Unincorporated Areas
- Change in Job Duty Focus - (jailers, court officers, civil process service)
- Level of Contracting for Law Enforcement Services
- Level of County Tax Revenues
- Level of Patrol Staffing
- Level of Traditional Law Enforcement Response Level to Calls for Service
- Degree of Cost Pass On - (pass on costs to cities, special districts, users)
- Level of Services Re: Mandated Programs - (county support of programs)

Trends are defined as fundamental descriptors of the future. They can be external (outside one's control) or internal (can be influenced). They can be either objective or subjective. Objective trends project data that can be verified. Subjective trends are more difficult to express other than in a soft way; i.e., a shift in community values. Trends must be measurable.

Using the NGT process, the panel narrowed the original list of 12 trends to 5. This process involved discussions regarding definition and two sequential votes in which the panel was instructed to rank the trends from most important (rated #5), to least important (rated #1). The panel was then asked to rank the five remaining trends in order of priority on a scale of 5 to 1 (with a rating of 5 being highest and 1 being lowest) in relation to their potential impact on the issue. The vote resulted in the following ranking of trends.

**TREND #1 - Level of Annexation and Incorporation of Unincorporated Areas.**

**TREND #2 - Amount of Open Land Conversion to Light Industry and Residential Developments.**

**TREND #3 - Level of Contracting for Law Enforcement Services.**

**TREND #4 - Change in Job Duty Focus (jailers, court officers, civil process service).**

**TREND #5 - Level of Gang Population and Related Crimes in Unincorporated Areas.**



## TREND EVALUATION

Once the primary trends were identified and defined, the group was asked to estimate, using a base number of 100 (representing today's level), what the level of the trend was five years ago, what it would be five years from today, and lastly, in ten years. This forecasting group was also asked what they desired the trend level to be five years from now, and ten years from now (the normative range). All percentages reflect the group's consensus or median. The figures show all four ranges including the nominal ("will be") and normative ("should be") medians as well as the upper and lower nominal quartiles.

### TABLE 1 - TREND EVALUATION

Trend #	TREND STATEMENT (Abbreviated)	LEVEL OF THE TREND ** (Today = 100)			
		5 Yrs. Ago	Today	* 5 Yrs. From Now	* 10 Yrs. From Now
T1	Annex. & Incorp. of Land	80	100	125/100	160/110
T2	Land Conversion	85	100	150/110	180/120
T3	Contracting for L.E. Services	50	100	110/110	115/130
T4	Job Duty Focus	80	100	115/110	150/140
T5	Gang Populations and Crime	70	100	125/75	140/75

(Trend statements are abbreviated due to space considerations)

\*\* Panel Medians

N = 10

"Will Be"

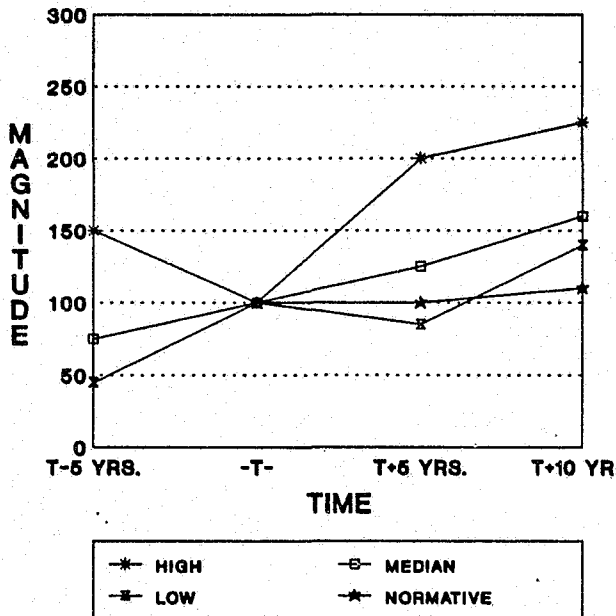
"Will Be"

"Should Be"

"Should Be"

## TREND FORECASTS

### TREND #1 FORECAST ANNEX. AND INCORP. OF LAND



N - 10

### TREND #1 - Level of Annexation and Incorporation of Unincorporated Areas.

This trend deals with the level of county jurisdiction through the formation of new cities and the annexation of area into existing ones.

This trend would also touch on the political

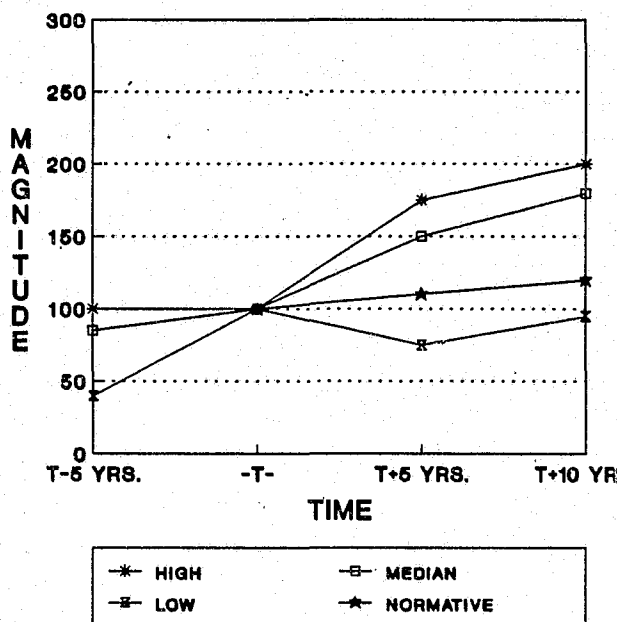
considerations dealing with city governments and their desire to grow at the expense of county jurisdiction. The group felt that the level of the trend was approximately 20% lower five years ago. Although at least two of the major cities in the area were discussing growth issues, a large percentage of the populace had no desire to become part of an existing city or form a new one. Five years ago, the county was still largely agriculturally based and seemed to want to keep it that way.

Recently there have been two large computer hardware firms that have relocated in the western end of the county and several new housing subdivisions are

either under construction or are on the drawing board for the near future to serve the growing population. The Forecasting Group believes that this influx of people into the area will drive the annexation and incorporation trend upward by 25% in the next five years.

By the end of the ten year period, the group believes that the trend will increase by 28% over the first five years. Overall, this represents a 53% rise in the next decade. The normative trend will reflect no increase at the five year period, but experience a rise of 10% over the next ten years.

### TREND #2 FORECAST OPEN LAND CONVERSION



N - 10

TREND #2 - Amount of Land Conversion to Light Industry and Residential

Developments. This trend is defined as the loss of open land through an increase of commercial and residential developments. It encompasses wild

lands, forests, and all undeveloped property within the county jurisdiction. It would

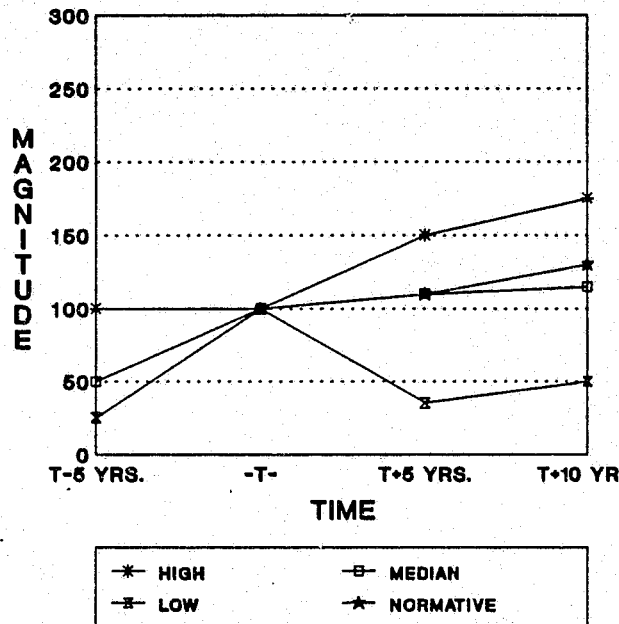
also involve an examination of the causes of population shifts from an urban or suburban setting ("exurbs") to a rural environment and the resultant impact on existing staffing levels.

The Group felt that this trend was approximately 15% less five years ago than today. This belief stems from the fact that agribusiness was still profitable at that time and the gentlemen farmers were holding onto their land either from a farming use standpoint or awaiting an anticipated "boom" in land prices due to an influx of people moving away from the increasingly crowded Sacramento area.

Five years from now, the Group believes that the trend will increase by 50% over that of today. Today, the most populated area of the county is experiencing phenomenal growth both in terms of people and light industry. This drive to the "exurbs" as documented by one regional newspaper is believed to be an attempt to escape the urban growth of the adjacent county. The normative trend is expected to rise 10% above today's 100 rate.

In ten years, the median nominal trend is expected to increase 20% over the first five years' level. This represents an increase of 80% over today. The normative forecast is expected to be 20% higher than today.

### TREND #3 FORECAST CONTRACTING FOR LAW ENF. SERVICES



N - 10

### TREND #3 - Level of Contracting For Law Enforcement Services.

This trend involves the furnishing of law enforcement services by a sheriff's department to other political entities through a contractual agreement. This trend concerns the realities of political "agreements"

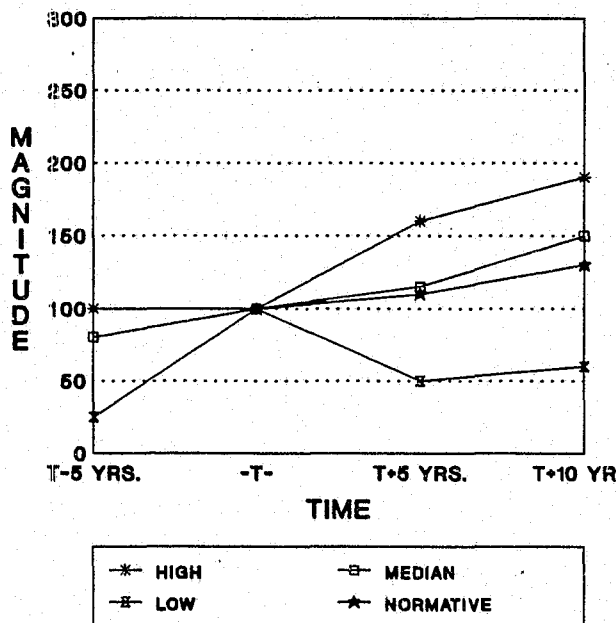
and how they impact a sheriff's departments' ability to control and manage its own future.

In the previous five years, the trend was believed to be 50% less than today's level. As a rural sheriff's department, the target county was experiencing little population growth and practically no influx of "big business" into the area. It was felt that there was no need for contracting for services to the other cities since the county budget was sufficient to meet the needs of the individual departments, and law enforcement had always enjoyed a large share of funding due to their high standing in the county.

In the next five years, the trend is expected to increase by 10% over today's level and another 5% by the end of the decade. This represents a gain of only 15% in the next ten years. This minor increase is due to the group's belief that the county budget will continue to hold sufficient monies to support a positive level of law enforcement through that period and that existing cities will not wish to lose local control through contracting.

The normative forecast is an increase of 10% in the next five years and another 20% by the end of the ten year time period. This represents a 30% increase by the end of the decade. This large increase was fueled by the belief that rural sheriff's departments must contract in order to offset loss of primary jurisdiction to cities.

### TREND #4 FORECAST JOB DUTY FOCUS



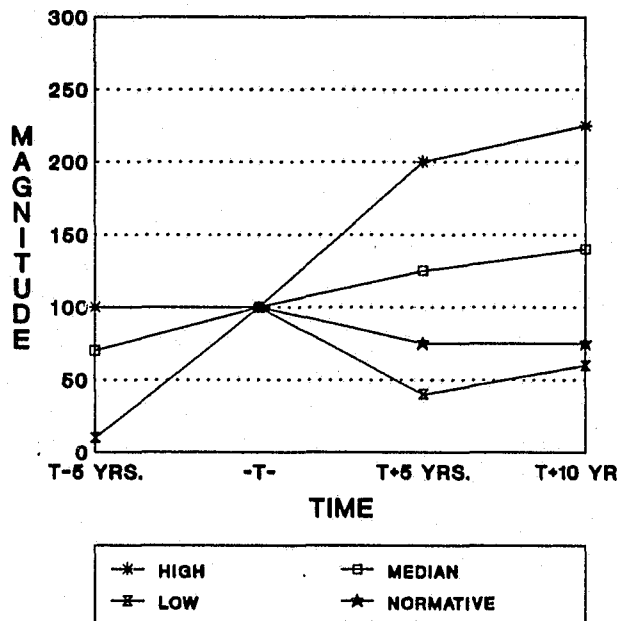
**TREND #4 - Change in Job Duty Focus** (jailers, court officers, civil process service). This trend deals with the narrowing of job duties and responsibilities to focus less on traditional patrol and criminal investigations, and more on specific activities

N • 10

such as corrections, judicial duties, coroner's duties, and civil process service.

Five years ago, the median level of this trend was believed to be 80% of today's rate. Five years from today, the level is expected to increase by 15%. This estimate is based on the Group's belief that as the sheriff's department jurisdiction decreases due to annexation and incorporations, management will be forced to focus staff in those areas of less decline (corrections, court staff, etc.), in order to maintain staffing levels. In ten years, the trend will increase another 35% over the five year level which represents a 50% increase over today. The normative level is similar to the nominal. The five year estimates will be 10% above today with the ten year level showing an increase of 40% (50% overall).

### TREND #5 FORECAST GANG POPULATIONS AND CRIME



N - 10

### TREND #5 - Level of Gang Population and Related Crimes in Unincorporated Areas.

This trend relates to the street gang populations in the counties (and cities) and crimes directly related to their activities. It encompasses public

reaction to a growing gang problem as well as county law enforcement's response to increased demand for service.

In the past five years, this trend was believed to be 30% less than today's level. In the next five years, the estimate is an increase of 25% over today's 100%. By the end of the decade, the trend is expected to rise another 15% in the first five years representing an overall increase of 40% above today's level. This median forecast is representative of the belief by the Group that as the population grows, the increase in gang populations and related crimes is a near certainty.

The normative forecast was 75% of today's rate at the five year period, and that same level by the end of the tenth year. This forecast represents the Group's desire that gang populations and related violence not increase as expected in the nominal forecast, and in fact would decline over the next decade due to proactive intervention and enforcement programs.

### **EVENT SELECTION**

The NGT Panel, using similar techniques, identified 15 potential events for discussion.

1. Small City Incorporates - (25% of sheriff's department staff impacted)
2. A Large City Annexes 20% of Sheriff's Patrol Area
3. Pro-growth County Supervisor Elected
4. Booking Fees Repealed - (ability of county to pass on cost of booking cities' prisoners)



5. Law Enforcement Use of Narcotic Seizure Funds Declared Unconstitutional - (funds can no longer be used to buy equipment, supplement manpower)
6. Jail Taken Away From Sheriff by Board of Supervisors - (Board of Supervisors decides to form a corrections department)
7. County Budget Faces Large Deficit - (all budgets cut by 25%)
8. Building Moratorium in County
9. Major Civil Settlement Against Sheriff's Department for \$10 Million
10. Major High Tech Company Relocates In County - (major factory built)
11. Light Rail Opens in County
12. Jail Population Reduced by Court (number of prisoners reduced by 24%)
13. Major Riot by Prison Gang Members in Jail
14. Drought Enters 8th year, Large Farmers Forced to Quit
15. Hispanics Demand Representation in County Government

An event is defined as a discrete occurrence. They are things that either do or do not happen. Events should be stated in such a fashion that someone looking back in time could clearly tell whether or not the event had occurred. Using the same ranking methodology, the list was narrowed to 7. After further discussion, the NGT Panel narrowed the focus of the list to the five most critical and potential events impacting the issue question.

EVENT #1 - A large city annexes 20% of sheriff's patrol area

EVENT #2 - Small city incorporates (25% of sheriff's department staff impacted)

EVENT #3 - Light rail opens in county

EVENT #4 - Building moratorium in county

EVENT #5 - Pro growth county supervisor elected

### EVENT EVALUATION

After the events were prioritized and defined, each member of the Forecasting Group estimated the year that the probability of each event occurring first exceeds zero. The Group members further estimated the probability for that event actually occurring during the next five and ten years.

Both positive and negative impacts on the issue area were compiled. This involved assigning a positive or negative impact of zero to 10 on the issue of "the impact of urbanization on Northern California rural sheriff's departments."

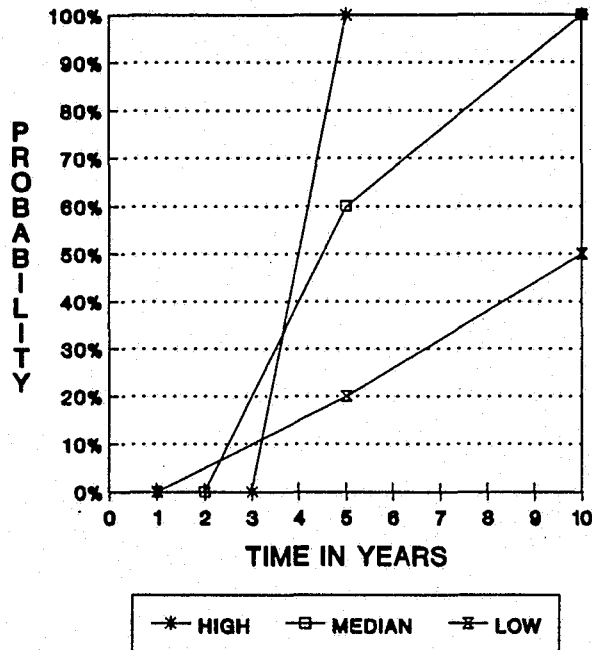
**TABLE 2 - EVENT EVALUATION**

EVENT #	EVENT STATEMENT (abbreviated)	* Years until probability first exceeds zero	* Probability		Impact on the issue area if the event occurred	
			Five yrs. from now (0-100%)	Ten yrs. from now (0-100%)	* Positive (0-10 scale)	* Negative (0-10 scale)
E1	City annexes 20% of Sheriff's area	2	60	100		10
E2	Small city incorporates	2	50	60		8
E3	Light rail opens in county	3	50	85	4	6
E4	Building moratorium in county	2	35	50	5	5
E5	Pro growth county supervisor elected	1	70	75	2	8

N = 10

# EVENT FORECASTS

## **EVENT #1 FORECAST** CITY ANNEXES 20% OF COUNTY AREA



### EVENT #1 - A Large City Annexes 20% of Sheriff's Patrol Area

This event would have a major impact on small rural sheriff's departments who frequently have a smaller ratio of officer to population than cities. The group rated the impact as negative

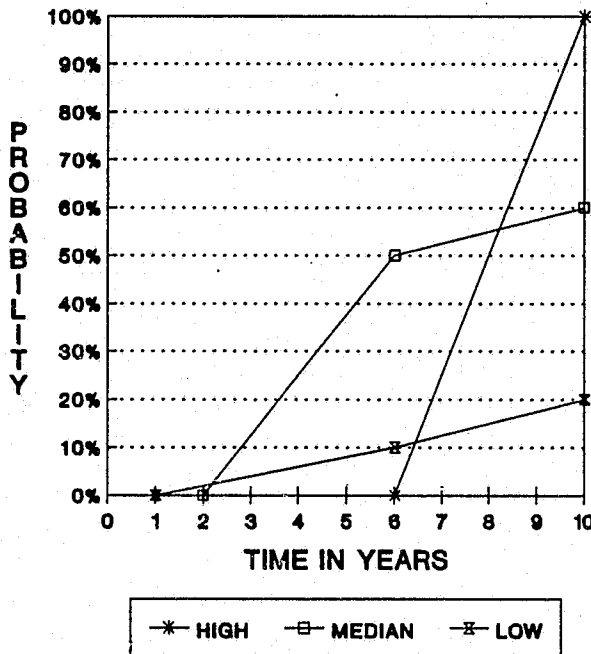
10 (E.V. = negative 1,000) representing an extremely negative event regarding the primary issue. In the target county, 20% represents approximately 14 patrol (total of 71) officers and several support staff. While this is not a death knell for patrol, it does impact the issue area in a very negative manner. The group felt that the probability of the event exceeding zero was two years in the future with a 60% probability at the five year mark. At the ten year mark, the probability rose to 100%. When this occurs, it will (without strategic planning to mitigate its impact) require the

department to either eliminate those positions, or assimilate them into other jobs outside the patrol division.

Expected Value (E.V.) = Median X Probability

The group rated the impact as negative 10 (E.V. = negative 1,000) representing an extremely negative event regarding the primary issue. This event would have a major impact on small rural sheriff's departments who frequently have a smaller ratio of officer to population than cities.

**EVENT #2 FORECAST**  
SMALL CITY INCORPORATES IN COUNTY



N = 10

**EVENT #2 - Small City**  
Incorporates (25% of sheriff's department impacted)

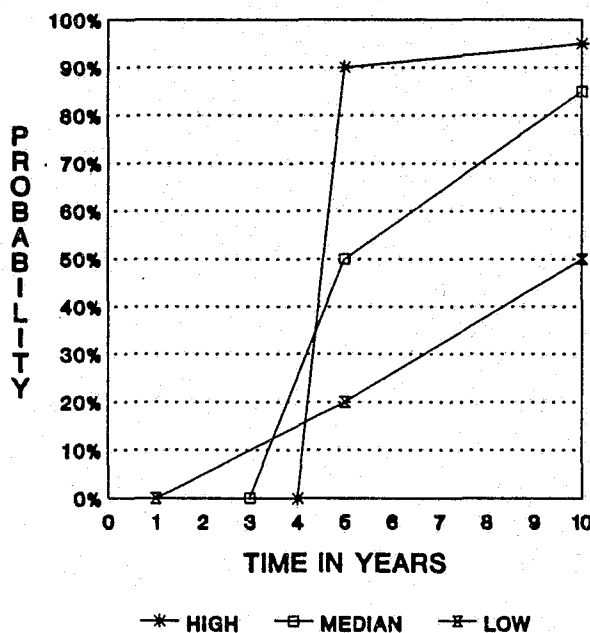
The group felt that this event would also have a very definite negative effect on the issue since one fourth of the entire staff would be eliminated (E.V. = negative 720). The

median represents a two year time frame until the possibility exceeds zero with a 50%

probability at the five year mark. At the end of ten years, the probability reaches 60%. The Group felt due to the trend of population growth and resultant urbanization, a very strong possibility exists for the occurrence of this event. When it does, it will cause a major shift within the department (similar to event #1) to attempt to offset the loss of jobs with other activities.

Expected Value (E.V.) = Median X Probability

### EVENT # 3 FORECAST LIGHT RAIL OPENS IN COUNTY



N = 10

### EVENT #3: - Light Rail Opens in County

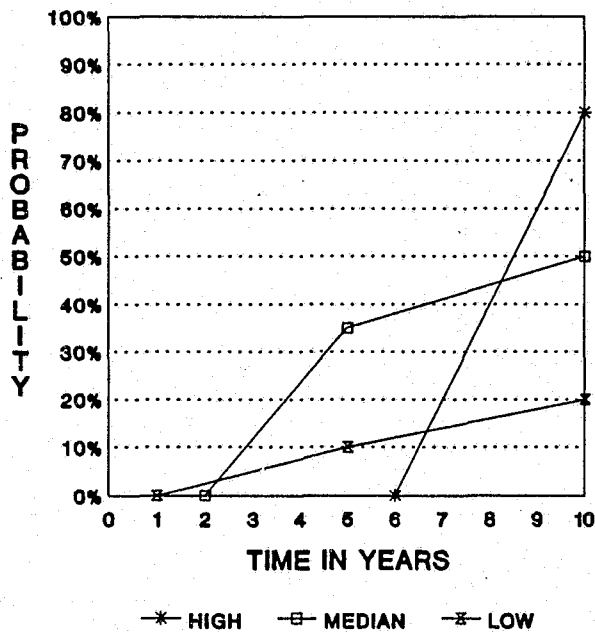
The Group was split almost equally on the potential for impact of this event. The Group median for the probability when this event's occurrence first exceeds zero was three years. At five years, the probability was

50% and 100% at the end of the decade. This event was rated almost equally in terms of negative (6) and positive (4) impact (E.V. = negative 600 & positive 400) on

the issue. They felt that although the rail might create a more urban atmosphere which could bring about jurisdiction losses due to annexations and incorporations, the possibility existed for increased revenues and law enforcement contracts with industry complexes, etc.

Expected Value (E.V.) = Median X Probability

### EVENT # 4 FORECAST BUILDING MORATORIUM PASSED BY VOTERS



N = 10

### EVENT #4: - Building Moratorium in County

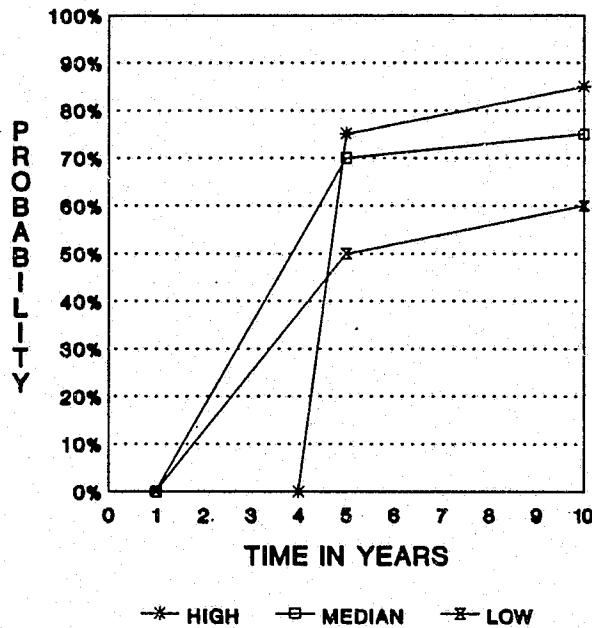
The median numbers for this event were split equally. The negative impact (negative 5) (E.V. = negative 250) was determined to be the loss of potential tax revenues from expanding residential

and industry growth. The positive ( positive 5) (E.V. = positive 250) rating resulted from the belief that this event would slow growth and thereby decrease the possibility

of more jurisdiction loss due to urbanization resulting in annexation and incorporation of the new areas.

Expected Value (E.V.) = Median X Probability

### EVENT # 5 FORECAST PRO GROWTH SUPERVISOR ELECTED



N = 10

### EVENT #5: - Pro Growth County Supervisor Elected

The Group felt that this event held mostly a negative impact (negative 8) for the issue area (E.V. = negative 600). A pro-growth supervisor could influence the Board of Supervisors and civic

groups to allow expansion of urban areas. This would mean the decrease of open land and forests, thereby creating more urbanization and potentially a loss to surrounding cities who see the potential increase in their tax base. A small positive impact (2) was reported with the potential for controlled growth which would increase the county's tax base and perhaps raise the standard of living in the area. Most of

the Group expressed the fear that a board of supervisors would not be able to control the growth once the "cat was out of the bag." This uncontrolled growth would hurt both the rural lifestyle and increase the potential for jurisdiction loss to cities.

Expected Value (E.V.) = Median X Probability

### **CROSS IMPACT ANALYSIS**

After the trends and events had been identified and evaluated, the Forecasting Group completed a cross-impact matrix. The matrix indicates the effect one event could have on another event and upon the forecasted trends, assuming the event actually occurred. If each event was to occur, the probability of occurrence of each other event is re-estimated.

The estimates are of direct impacts only, not the indirect, second, and higher-order impacts. The effect of each event on each trend is measured relative to its potential to accelerate or impede the trend. Table 3 shows the median result of the cross-impact evaluation done by the Nominal Forecasting Group.

The trends and events previously discussed are recognized by the forecasting group as potential targets for policy action. It is, therefore, critical for planners to understand the relationships or the cross-impacts of the events and trends.



# TABLE 3 - CROSS IMPACT ANALYSIS

## TRENDS AND EVENTS MATRIX

	E1	E2	E3	E4	E5	*	T1	T2	T3	T4	T5	IMPACT TOTALS
E1	X	+15	+10	-15	-5	*	+15	+15	-15	+20	+5	E1 = 9
	X											
	X	3	2	5	4	*	3	3	5	3	5	
E2	0	X	+5	-15	-5	*	+20	+5	+10	+10	+5	E2 = 8
		X										
	0	X	5	5	4	*	2	5	.5	1	3	
E3	+5	+10	X	-10	+25	*	+10	+15	+5	0	+15	E3 = 8
			X									
	3	2	X	4	4	*	5	5	5	0	3	
E4	+10	+10	-10	X	-35	*	-15	-25	-5	0	-10	E4 = 8
				X								
	3	2	3	X	4	*	6	5	5	0	3	
E5	-5	-10	+25	-30	X	*	+10	+30	+15	-10	+15	E5 = 9
					X							
	2	2	1	4	X	*	8	4	5	3	5	

## IMPACTED TOTALS

E-1	E-2	E-3	E-4	E-5	*	T-1	T-2	T-3	T-4	T-5
3	4	4	4	4	*	5	5	5	3	5

N = 10

Maximum Impact (% change +/-)

Years to Maximum

### \*\* Legend

- E1 A large city annexes 20% of sheriff's patrol area
- E2 Small city incorporates (25% of sheriff's department staff impacted)
- E3 Light rail opens in county
- E4 Building moratorium in county
- E5 Pro growth county supervisor elected
  
- T1 Level of Annexation and Incorporation of Unincorporated Areas
- T2 Amount of Open Land Conversion to Light Industry and Residential Developments
- T3 Level of Contracting for Law Enforcement Services
- T4 Change in Job duty focus (jailers, court officers, civil process service)
- T5 Amount of Gang population and related crimes in Unincorporated Areas

## ACTOR EVENTS

After the direct impacts have been estimated, another evaluation is necessary to identify important events regarding their impact on the future world. In order to estimate this, the number of "hits" or impacts for each horizontal row in the matrix was counted. The higher the number of hits, the more important the event is to the future.

- EVENT #1 - A Large City Annexes 20% of Sheriff's Patrol Area. This event received nine hits out of nine.
- EVENT #2 - Small City Incorporates (25% of sheriff's department staff impacted). This event received eight hits out of nine.
- EVENT #3 - Light Rail Opens in County. Received eight out of nine possible hits.
- EVENT #4 - Building Moratorium in County. Received eight out a possible nine hits.
- EVENT #5 - Pro-Growth County Supervisor Elected. Received nine out of nine hits.

As can be seen from the graph, all the events are important "actors". This data is important for future planners and policy makers to recognize and develop specific policy guidelines to deal with the impacts forecasted.

## REACTORS

After the "actor" evaluation was completed, each event and trend was

examined to determine if they were "reactors." Reactors are affected by the occurrence or non-occurrence of "actor" events. This evaluation was accomplished by adding the number of "hits" for each vertical column in the matrix. The results again showed that each event and trend would be significant reactors in relation to the five events indicated.

With the exception of event #2's impact on event #1 which received no impact, all events received four out of four possible "hits." This held true for the trends, with the exception of events #3 and #4's impact on trend #4. It was determined that these two events would not impact the trend in any measurable manner.

Each cell in the matrix was examined to determine whether the changes entered are either "good" or "bad" in relation to the environment being studied. Each of the five events is an actor event; consequently, agency policies should be directed with the objective of making the event more or less likely to occur depending on its positive or negative impact. Since the majority of the events and trends tend to be negative toward the primary issue, policy should be directed at trying to prevent their occurrence or least make them less likely in the future.

## **SCENARIOS**

Based on the data, three scenarios have been developed that provide a "snapshot" into the future. All scenarios are written as retrospective, phrasing the next decade's events as a writer would if the scenario were written in 2002. The three futures are: (1) Exploratory Mode (nominal or "surprise free"), (2) Hypothetical

Mode ("what if"), and the Normative Mode ("desired and attainable"). These scenarios were compiled using:

- Forecasted trend and event data
- Future File items indicating trend/s
- Cross Impact Analysis

In the first, the Exploratory (Nominal Mode) will be examined to survey a possible future in which the forecasted events do not occur. This scenario assumes that although the events did not happen, the mere possibility of their doing so created change to the issue area. Although no cross-impact data exists (due to no events occurring), the potential for their occurrence creates modification of the trend and therefore is worthy of examination.

In the second scenario, the Normative Mode ("should be") is explored. In this story, the "desired and attainable" future is the basis for the story line. Although the number of positive, or "good" events occurring which affect the trends is not large, their occurrences, however few in number, do have a positive impact. It is this impact which is examined.

In the third scenario, the Hypothetical Mode ("What if") is probed for future action. In this story, all of the most potent actors forecast a very negative effect on the future. All of their occurrences have an effect on the trends which spell doom for rural sheriff's departments in Northern California. The story is accentuated by the individual events and the resultant action to attempt to offset their impact. As the

story suggests, these "reactions" are ineffective in reducing the negative impact on the trend(s).

### IT COULD HAVE HAPPENED, BUT IT DIDN'T.

#### (Exploratory Mode)

Oh sure, here it is 2001. All those doomsayers were wrong AGAIN. I knew that all that stuff they said was going to happen, wouldn't. Come on, you didn't believe any of that rhetoric did you?

Remember that news article about the big city that was going to annex 18% of the sheriff's department's territory? Well, it didn't happen. So then, the department was all set to change a bunch of job assignments in order to not lose any staff. But, come to think of it, I guess that even though it didn't happen, the sheriff made some beneficial changes in preparation for the occurrence. He did get rid of some of the "dead wood" by convincing them to retire with the "golden handshake" offered by the county. That made room for some of us to move up in the ranks where there was no opportunity before.

Yeah, it's business as usual here in the sheriff's department. Nothing much has changed over the years, even though some good things have occurred because things that were forecasted to happen, didn't. Take for example the rumor going around a few years ago. A small city in the eastern end of the county was going to incorporate in 1993 and leave one-quarter of the department's staff unemployed. It was said that they were upset because the department wasn't doing enough about the street gang problem and they wanted more local control. Even though it didn't happen, the

department recognized that some problems existed and started a new crime prevention detail as well as assigned several officers to the Neighborhood Watch program in that area. The local people seem to be more satisfied with the department according to a recent poll. I suppose that was a good move.

And another thing, I'm tired of hearing about all the land being built on. I keep hearing that the more open land that's turned into homes and businesses, the less area the sheriff's department is going to have to work in. They say the cities are gobbling it all up. Well, I haven't seen any big losses in the sheriff's department over the past ten years. I heard the "brass" talking just the other day about trying to get a new patrol contract with that large commercial complex that was just finished over on the north side.

That could mean more jobs. Apparently, the sheriff's department may be able to do the job better and less expensively than anyone else. At least, the owners of the factory must be considering it. I also heard that the majority of people who live in those new areas like the way the sheriff's department does business and want to keep us around. What do you think about that?

## CITY LIGHTS

(Normative Mode)

In 2002, the lights of the biggest city in the county could be seen for miles beyond its boundaries. Back in 1993, a movement was started to annex a large piece of the adjacent county area. While this predominantly commercial zone was "ripe for

the picking", the city decided to move cautiously for fear of creating a battle between them and the county managers who feared the city was taking all their tax base. A survey in that year determined that the people who lived and worked in the zone were split down the middle on the subject of annexation, and that made the city manager and the other administrators uneasy. Everyone knew the potential tax gain from the acquisition of the area but there were also unknowns. The crime rate in an adjacent county was on the rise due to an increase in street gang activity and it was feared that they would expand into their area. Waiting for a more opportune time seemed appropriate.

At the time, the sheriff's department was also concerned over the potential annexation of one of the county's prime tax base areas. The people and businesses in the zone had been very happy with the sheriff's patrol and the manner in which they handled the myriad of calls-for-service on a daily basis; but, street gang crimes were on the rise in the state and adjoining counties and the local citizens had expressed fears that the same thing could happen there.

After much discussion, the Sheriff decided to form a gang task to study the cause of gang formation in order to try and ease some of the residents and businessmen's fears. He formed an alliance with the school district to educate the county's youth about the danger of gang association and established a citizen's advisory committee to monitor the problem. Not only in the zone, but in the entire county. The hope was, "Maybe if we can keep gangs out of the county, the citizens will be more satisfied, and they won't want to be annexed into the city."

In response to the local court's tendency to increase the number of people being sent to jail, the Sheriff had convinced the Board of Supervisors to build a new and expanded jail in an effort to prevent the overcrowding situations which plagued other counties. So far, the jail still had vacancies. In fact, they were talking about contracting with other counties to take in their extra prisoners for a profitable fee. The new jail would employ many new officers and give the others an attractive work option if they tired of working patrol.

Later in 1993, a small city in the eastern end of the county was considering incorporating and forming their own government in order to have "local control." The sheriff's substation there employed 59 people and had an excellent relationship with the general populace. The hope was, if the city did incorporate, they would contract with the sheriff to keep the officers and staff working there. After all, everyone who worked there lived nearby and was an active part of the community; they didn't want to leave. After much discussion and meetings, the "city formation" committee decided to delay the process and see if the county recognized and did something about the many concerns that the citizens had voiced in the public meetings.

Fortunately, the Sheriff and the rest of the county administrators did listen. They convened meetings with the area leaders and made sure that county management staff was present. That went a long way in cementing the bond between the county and the local citizenry. Although the city incorporated later that year, management decided to contract with the county for law enforcement services to keep the same "local" personnel and maintain what they felt was quality service.



Yes, at night the city lights are beautiful from a high forested hill. You can still walk for miles without coming across a housing development or commercial zone, although they do exist in some well planned areas. That's the way we like it.

FOLKS, THE BAD NEWS IS, THERE AIN'T NO GOOD NEWS.

(Hypothetical Mode)

What else can happen? In the last ten years, everything bad that could happen, did. In 1992, the city annexed 20% of our area forcing the sheriff to lay off 35 officers. Later that same year, North Tahoe incorporated and put another 59 of us out of work. Boy, if there wasn't bad news, there wouldn't be any news at all. Just think about it, we might have been alright if the county hadn't put that building moratorium on to keep some of the open land from being developed into housing tracts and light industry parks. We could have used the buildup to justify adding more patrol officers to the force, or at least to keep the ones we had. And even though that pro-growth county supervisor was elected in 1995, he hasn't been able to sway the rest of the board to allow more building. Not that I want to lose all that open land. I just don't want to lose my job because the cities are taking away all the sheriff's department's jurisdiction.

I really don't want to work in the jail, even though soon that may be the only job left in this department. Maybe the jail won't be such a bad place after all, even if it is a dead end job. I heard that patrol contract the Sheriff was trying to work out with North Tahoe didn't go though. Too bad. That may have helped keep some of

the staff on patrol. I also heard that we lost the bid to supply officers to that new industrial computer complex being built on the county's northside. That would have given us some more variety and another place to work. I would've liked to get some training in computer security, but I guess that's a pipe dream now. I heard they might build a new wing on the jail; those officers laid off in 1996 should be hired back first if they do.

When the light rail opened in 1996, it was supposed to bring "new life" into the county. Well, it certainly did that. New life, and low life. Since its opening, the street gang crime rate has risen 5% every year. The rail also brought more people. That meant more urbanization, bringing about more annexations and incorporations, which further decreased our patrol area. Is this progress? What are we going to do?

## **POLICY CONSIDERATIONS**

The "Hypothetical" scenario is chosen for development and policy consideration as it represents the "worst case" future for rural sheriff's departments. The following four policies, if implemented, would either mitigate an undesirable future or help bring about a desirable one.

To deal with the negative impacts, several tentative policies were formulated. In order to generate the policies, members of the NGT were invited to reconvene and act as a Modified Policy Delphi (Appendix B). The group was asked to consider the issue, analyze the situation, and propose policy alternatives to impact the future in a desired manner. While intentionally non-specific in nature, the policies outlined

below are intended to serve as guidelines to lead the department toward positive change.

### **TENTATIVE POLICIES**

- The Sheriff's Department will actively oppose (politically) efforts to reduce our service areas.
- The Sheriff's Department will be receptive to positive change, and proactive in developing alternatives to traditional service markets.
- The Sheriff's Department will seek out and institute innovative methods to continue providing exemplary service to the public.
- In order to continue providing the best possible service to the public, the Sheriff's Department will take a leading role in the development of agency personnel in specialized training.

### **POLICY EVALUATION**

The policies are designed to prevent the Hypothetical, or "worst case" scenario chosen for strategic planning. They were selected since each is formulated to return more to the department than it is required to outlay.

As part of a Strategic Plan, they will help the sheriff's department deal with the impact of annexation and incorporation and the potential loss of service area. They are designed to create alternative service markets (thereby retaining staff), provide continued quality service, develop personnel for specialized activities, and actively

oppose loss of jurisdiction (through annexation and incorporation).

Their success should bring about an increased "market share" for the sheriff's department and foster a better relationship with the community and other county and commercial entities. The strategies will also help to increase employee satisfaction through alternative assignment possibilities. They will assist in creating a progressive atmosphere in the department which should aid in retention and growth of staff.

After the tentative policies were evaluated for applicability, five persons comprising a Nominal Group (members 1 through 5 of the original NGT) were assembled to estimate the impact of the policies on the trends and events. The following table illustrates those impacts. The scale (1-10) represents the impact (positive or negative) that the strategy will have on the applicable trends and events; the higher the number, the higher the impact. It should be noted that a negative impact may in reality be beneficial (in relation to the issue) if it decreases or prevents a negative trend or event.

## TABLE 4 - CROSS IMPACT ANALYSIS OF POLICIES ON TRENDS AND EVENTS

### TENTATIVE POLICIES

POLICIES	T-1	T-2	T-3	T-4	T-5	E-1	E-2	E-3	E-4
ACTIVELY OPPOSE REDUCTION IN AREA	-5	-3	+6	-3	-1	-7	-5	0	+7
DEVELOPMENT OF ALTERNATIVE SERVICE MARKETS	-2	+5	+10	-8	-8	-3	-5	+10	+3
PROVIDE EXEMPLARY SERVICE TO THE PUBLIC	-3	+2	+10	-5	-3	-5	-5	+9	+5
DEVELOP PERSONNEL FOR SPECIALIZED SERVICE	-2	+5	+10	-5	-10	-2	-5	+10	+5

N = 5 persons

Scale = 1 - 10 positive (+) or negative (-)

TREND #1 - Annexation and Incorporation of Unincorporated Areas

TREND #2 - Amount of Open Land Conversion to Light Industry and Residential Developments

TREND #3 - Contracting for Law Enforcement Services

TREND #4 - Change in Job Duty Focus (jailers, court officers, civil process service)

TREND #5 - Level of Gang Population and Related Crimes in Unincorporated Areas

EVENT #1 - A Large City Annexes 20% of Sheriff's Patrol Area

EVENT #2 - Small City Incorporates (25% of sheriff's department staff impacted)

EVENT #3 - Light Rail Opens in County

EVENT #4 - Building Moratorium in County

### CONCLUSION

As the table reflects, most of the strategies impact the applicable trends and

events in a manner which will be positive for the organization. Of particular note is the impact of all the Strategies on Trend #3 (Contracting for Law Enforcement Services). The Forecasting Group felt that Trend #3 had the highest potential for retention of staff and development of other service areas.

Strategies #2, #3, and #4 impacted Event #3 (Light Rail Opens in the County) in a manner which will also potentially create additional service areas and provide department personnel with alternative work environments. The Group felt that opening the light rail could generate jobs for sheriff's staff, as well as open up a variety of positions for sworn and non-sworn personnel.

Another positive note is the negative impacts the strategies have on Events #1 and #2 as well as Trend #5 (Level of Gang Population and Related Crimes in Unincorporated Areas). The listed strategies tend to reduce the potential for annexation (in Event #1) and incorporation (in Event #2) as well as limit the potential for an increase in gang activity in the rural areas. This means that the probability of these two events occurring is diminished by the impact of the strategies and the gang related trend is also positively affected. Overall, the chosen strategies are forecast to have a beneficial impact on the trends and events for the organization.

**SECTION TWO - A Strategy for the Future**

## ISSUE ENVIRONMENT

For the purpose of this analysis, the Placer County Sheriff's Department was chosen as the focus of the study. Based on a literature search and comparative analysis, this agency appears to be representative of rural California sheriff's departments facing the impacts of urbanization presented in the Hypothetical Scenario (chosen as the specific scenario to address). A long narrow jurisdiction, Placer County lies in Northern California running east between Sacramento and the Nevada state border. The Placer County Sheriff's Department provides public safety and law enforcement services, correctional functions, coroner duties, marshal and civil services, and court bailiff activities to the unincorporated areas of the county. The department consists of a main office in the county seat (Auburn) with two substations in the western and eastern end respectively. The agency serves a primarily rural county with two medium size cities (30 - 50,000 population), and several small ones located in the foothills on the western end. The eastern half of the county consists of national forest lands with small unincorporated residential and business areas. At the extreme eastern end lies Lake Tahoe, an unincorporated (Placer County jurisdiction) international resort community. It includes a permanent population of approximately 10,000 people. During the winter and summer tourist seasons, the daily population swells to over 100,000. A sheriff's substation with a total complement of 60 sworn and non-sworn personnel serves this resort area.



## **MISSION STATEMENT**

"Macro" and "Micro" mission statements were developed by representatives from all levels of the organization to provide a guide to the agency's overall operation.

The Placer County Sheriff's Department has adopted the following "macro" mission statement: "The Placer County Sheriff's Department is dedicated to providing quality law enforcement and public safety services to the unincorporated areas of our county."

The departmental "micro" mission statement which is designed to enhance the "macro" mission statement and communicate the future of the agency states:

- "In order to keep our organization viable, we will explore innovative methods of expanding our services, making them available to other public and private organizations."
- "To provide and maintain professional and quality service to the public, our organization will develop competitive fee structuring methods."
- "Recognizing that we exist in a competitive world, we will be open to commercial techniques which will assure a continuation of superior service to the public."

## **SITUATIONAL ANALYSIS (Phase I)**

### **Environment**

A systematic assessment of the environment is needed for a foundation of the Strategic Plan. One effective method is to employ the STEEP mode (Social, Technological, Economical, Environmental, and Political) which structures the study.

This study will consider the social, economical, environmental, and political aspects as they relate to the issue.

To further evaluate the data, a WOTS-UP (Weaknesses, Opportunities, Threats, Strengths) analysis using the STEEP model was conducted to examine environmental factors and assess the organization's ability to address environmental opportunities and threats. The process ultimately examines identified trends and events and selects a single strategy. An implementation plan is offered for negotiating with key stakeholders and to gain their support for that strategy. The analysis revealed the following facts.

Placer County is currently in a period of transition. The western end of the county, formerly agricultural (although some large co-op farms still exist), is slowly being converted to housing developments and light industrial parks. The housing serves as "bedroom" space for those who commute to the Sacramento area to work, and local service industry employees. The light industry consists of information based (computer hardware and software, telecommunications, etc.) manufacturing firms who relocated here from higher tax base areas.

Several small to medium size (10 - 30,000 population) cities have successfully annexed urbanized portions of the adjacent county area, and are attempting more. At least one urban area (North Tahoe) in the eastern end of the county is exploring the possibility of incorporating. If a police department is formed, the local sheriff's substation will be eliminated, reducing the overall sheriff's staff by 25%. If all the current annexations and potential incorporations occur, the sheriff's department field

patrol staff will be reduced by a minimum of 40%. This will have a dramatic impact on the manpower and political stature of the department.

## **OPPORTUNITIES**

In the context of the issue, several trends and events have become evident which will support the achievement of the mission.

- Presently, the department contracts with one small incorporated city, and the U.S. Forest Service for traffic and law enforcement services. The department has made the existing contracts very attractive with low cost service, and a higher level of coverage (per capita) than the other police departments in the county. At least one other small city is exploring the possibility of a similar arrangement.
- Another opportunity exists wherein the sheriff's department would supply specific law enforcement or ancillary services to other law enforcement and businesses in the county. These might include an agreement to supply investigators for serious felonies, task forces to combat street gangs, or commercial security teams to a particular police department or commercial enterprise for a fee.
- The department has recently begun construction of a jail addition which will have extra bed space when completed. The sheriff is exploring the possibility of "renting" out the beds to adjacent counties for their overflow prisoners. This would allow him to increase staff and perhaps offset some construction cost of the facility.
- Recent legislative changes now authorize counties to pass costs on to cities. This

may assist the sheriff's department in remaining competitive with police departments.

- The change from a law enforcement and public safety oriented agency to one concerned mainly with corrections and judicial duties, is one method of streamlining the agency and retaining staff. If public pressure continues to mount for increased incarceration rates and confinement time, the need for more jails and custodial personnel will also escalate.
- With the ability to pass on custodial costs to other agencies, this reorganization may be an opportunity to remain viable in the future.

#### **THREATS - PRESENT**

- The continuing annexation of county territory by cities, as well as the potential for incorporation of new ones, is foreseen as a major threat (change producing factor) to the sheriff's department's current role in the county. As existing cities seek financial growth in order to expand, they tend to annex adjacent commercial and residential areas for increased revenues. Funds from these areas are then lost to the county. Dwindling funds may cause reduced staffing and equipment, translating into a potential decrease in service to the public.
- Local cities' desire to encompass more area has led to increased tension between city and county management. County managers foresee a decrease of revenue and change in political prominence. This has caused a protectionist attitude to become pervasive throughout county management; resulting in decreased levels

of communication and cooperation between the various entities.

- The existing recession and five year drought has reduced the viability of agricultural enterprise. This has required local farmers to decrease production or sell off acreage in order to survive. The result is a decline in revenues to the county.
- As urban dwellers seek less crowded and crime ridden conditions in which to live and work, the migration to rural areas continues to increase. The increase in people and vehicles has led to a rise in traffic and crime problems. This has further burdened the sheriff's department and forced management to seek creative methods of delivering quality service. While these problems have increased, funding has not kept pace with expenditures. This has required the sheriff's department to develop programs which "do more with less."
- The lack of ability of county governments to increase taxes and develop funding sources similar to cities, has placed restrictions on overall growth. This has led to a funding disparity between city and county departments of similar purpose.
- Although public safety departments have always enjoyed a favored position in county budgets, the necessity to fund other state and county mandated programs has begun to erode that advantage. Sheriff's departments are now being required to become more cost effective, productive, and economical.

#### **THREATS - FUTURE**

- Incorporations and annexations by cities will continue to represent the most

serious "threat" (change producing factor) to rural counties. These include the reduction of revenues, loss of geographic area, and decreased political power.

- Increased demand for services and competition for funds will require the department to function with fewer personnel and less equipment.
- With the potential loss of large portions of jurisdiction, the sheriff's department may be required to reduce or eliminate traditional patrol functions.

#### **ORGANIZATIONAL CAPABILITY (Phase II)**

The department has the capability of mitigating funding decreases through political action, and creating new markets by making service agreements attractive to other agencies. Fee based services are a monetary source which has could be utilized more to offset decreased budget funding.

#### **STRENGTHS**

- The Sheriff is the political and administrative head of the largest law enforcement agency in the county. As such, he has considerable influence.
- The department management recognizes that contracting for law enforcement services is a viable funding resource.
- Management maintains professionalism and competitiveness department wide. Specialization and increased training of personnel is encouraged.
- Top management consists of qualified and professional personnel with many years of management experience.

## **WEAKNESSES**

- The Sheriff's immediate staff does not provide him sufficient assistance and support in planning for future changes in the environment.
- While several law enforcement service contracts have been obtained, attempts to create additional markets have been minimal. Little has been done to pursue other sources of funding outside the traditional methods.
- There is no reward for innovation and creativity. Traditional methods for doing the job are still considered best.
- Qualified management staff is under utilized. Inexperienced personnel are allowed to make department wide decisions.
- Although the department has grown in staff in the past several years, it has been mainly in the corrections division with little increase in patrol and support staff.

## **STAKEHOLDER ANALYSIS**

A list of 12 stakeholders (listed below) was compiled (a stakeholder is an individual or group who has concerns regarding the central issue). In addition, one "snaildarter" (Taxpayer Organizations) was identified (a snaildarter is an individual or group who may radically impact any chosen strategy). After the group was identified, a list was generated of assumptions (see below) they are believed to hold about the issue. The assumptions were then mapped using a Strategic Assumption Surfacing Technique (Appendix D). The S.A.S.T. map charts the stakeholder's assumptions in

terms of importance/unimportance, as well as how certain or uncertain the author is that these assumptions are held.

### **ISSUE STAKEHOLDERS & ASSUMPTIONS**

As the chief law enforcement officer of the county and an elected official, the **Sheriff** will certainly wish to increase the size and status of his department which would help to retain his role in county government. He will want to maintain the confidence of the voters while retaining jurisdiction for his staff and department.

**Sheriff's Employee Organizations** desire to increase or at least maintain the current level of their members working in county service. They will want to increase pay and benefits as well as bolster their status in the county to give them more power in labor negotiations, etc.

As the head of county government, the members of the **Board of Supervisors** will want to maintain their jurisdiction and status in the county. As elected officials, they need to maintain the confidence of the voters and want to retain control and influence over all county departments.

**City Police Departments** want to grow. They would like to increase their budgets thereby expanding their staff and status in their cities and throughout the county.

As elected city officials, the various **City Councils** throughout the county desire to retain the confidence of their voters as well as increase their jurisdiction and status



in the county. They want to increase revenues which further enhances their position in the city , county, and state.

**Private Developers** want to increase their business. As entrepreneurs, they thrive when their businesses prosper and expand. They also desire to decrease the fees they pay to counties and cities for commercial and residential developments.

**Environmentalists** wish to control growth, thereby maintaining the rural atmosphere in the area. They will use political influence and legal tactics to block or delay large development of open lands.

**Local Business Owners** desire to increase their customer base and expand their businesses to create more profit. They would like to see a decrease in the amount of taxes and fees they pay for operating in the county and cities.

As the primary customers of law enforcement, the **Citizens** want to see an increase and improvement in county services. They wish to control growth and retain open space while still having the amenities of urban development available. They want a decrease in crime and an increase in their security.

**Large Land Owners** want to develop their land to their benefit. As landowners, their holdings are not of great value unless put to use either agriculturally or as commercial or residential developments. As land owners, they want a decrease in taxes and fees they pay to counties and cities for their property.

**Private Security Firms** want to retain and expand their commercial market. As any private business, they want to reduce interference and prevent or limit

competition from public agencies. They will use political and legal means to block law enforcement agencies from "invading" their market area.

### **SNAILDARTER**

**Taxpayer Organizations** throughout the county want control of government growth and a decrease in taxes and fees. They desire less government bureaucracy, more services at less cost, and a limit placed on municipal and county budgets. ■

### **DEVELOPING ALTERNATIVE STRATEGIES (Phase III)**

Using the Modified Policy Delphi process (Appendix B), the original NGT group was reconvened (see Futures Study section of this paper). They were given background information on the project, and requested to generate a list of alternative strategies which would assist the department in achieving its mission. The alternative strategies identified by the group are: Specialized Teams, Commercialize Department, Contract to Other Cities and Private Business for Law Enforcement, Formation of Regional Jail, Contract Prisoners, Provide Prisoner Labor, Form Political Action Committees, Emphasize Corrections and De-emphasize law Enforcement Function, Fee Based Services (see Appendix C for detailed explanation of each strategy).

After the list was generated, it was narrowed to three using a strategy rating process. The process involved rating (see Appendix E) the individual strategies in the categories of Desirability short-term, Feasibility, Cost, Desirability long-term, and Stakeholder support. The strategies were scored using a rating of 4 for "High Appeal,

to 1 for "Low Appeal." The following three top strategies were selected for detailed analysis.

**STRATEGY #1 EMPHASIZE CORRECTIONS, DE-EMPHASIZE LAW ENFORCEMENT SERVICES**

This strategy involves the reduction or elimination of patrol and law enforcement activities by the department. By phasing out law enforcement responsibilities, the department greatly reduces the daily problems (field staffing requirements, injuries, vehicle accidents, etc.) associated with these services. This reorganization may also result in a leaner, more efficient department.

If the present trends of increasing crime and longer jail sentences continue as projected, current jail space in the county will soon be insufficient to handle the growth. This will require additional space and manpower. More sworn personnel will also be needed for court bailiff duties to handle the growth in the number of those charged with crime.

**STRATEGY #2 CONTRACTING WITH OTHER AGENCIES & PRIVATE BUSINESS FOR LAW ENFORCEMENT AND OTHER SPECIALIZED SERVICES**

This strategy involves the utilization of sheriff's department staff to perform various law enforcement related activities for public and private agencies.

The contract(s) could include general law enforcement services; hazardous materials disposal; high tech crime investigations; gang and narcotic task forces;

"target hardening" training (making premises and persons less vulnerable to crime); security inspection services; and a variety of other activities especially suited to law enforcement personnel.

### **STRATEGY #3 COMMERCIALIZE DEPARTMENT & FEE BASED SERVICES**

The first part of this strategy (commercialization) concerns furnishing specialized services to the general public. These might include fingerprint and photo i.d. services, clerical pools, prisoner labor pools, mass produced goods, laundry and food service, training classes on hunter and gun safety, personal safety, home and business security, driving safety, and many others services.

Part two involves "generating revenue through service" by members of the sheriff's department. This includes direct charging of the customer/user for non-traditional police services (such as report copies, "insurance only" crime reports, traffic accident fees, prisoners booking, response to burglary and robbery alarms, etc.). The pros and cons of the three strategies have been examined and are detailed in the following section.

### **STRATEGY PROS AND CONS**

#### **STRATEGY #1 CORRECTIONAL DEPARTMENT**

The advantages (pros) lie in the singularity of purpose. By reducing or eliminating law enforcement activities of the sheriff's department, major budgetary expenditures are reduced. More non-sworn personnel (potentially reducing personnel

costs) could be utilized in a jail setting, versus sworn officers needed for law enforcement duties. The need to deploy vehicles and staff for patrol duties would be reduced, freeing them for corrections or court duties. Coupled with the reduction or elimination of investigative and allied support staff, this strategy could reduce operating costs.

The disadvantages (cons) of this strategy lie in what it no longer does. By eliminating the law enforcement activities of the department, public contact will be limited to those visiting the jail. Since these visits are usually negative (either as prisoner or visitor), it could reduce the department's status in the community. As one of 58 county law enforcement agencies, the department enjoys a positive standing statewide. This could potentially be reduced or eliminated due to the narrowing of role.

As an elected official, the Sheriff must maintain contact with his constituents. With the change in function, this contact could be reduced or strained, causing political difficulties and a loss of political strength. This change could also bring about a role conflict in the transition from law enforcement officer to correctional officer (the custodial officer is perceived by law enforcement officers as less qualified). This may result in the department losing otherwise qualified personnel due to the lack of assignment flexibility.

### **Stakeholder Perception**

Those who enjoy the rural law enforcement style of policing may dislike the

change. Patrol officers who enjoy their position may not favor it. Sheriff's employee organizations may perceive it as a threat to their power and existence. They may see the change as an attempt to exchange sworn positions for non-sworn in the jail.

The public (citizens, private enterprise) may see the restructuring as a loss of control and the creation of a central jail bureaucracy. Taxpayer organizations may support the change as a reduction of bureaucracy and potentially decreased taxes.

## **STRATEGY #2 CONTRACTING**

The advantages (pros) to this strategy lie in the potential revenues generated. It also includes the retention or addition of staff to deal with increased duties. Additional advantages are the entrepreneurial contacts and potential for increased contract arrangements with public agencies and private business.

The weaknesses (cons) consist of potentially losing sight of role definition (i.e., becoming less public and more private oriented law enforcement due to the availability of funds), and the possibility of reduced public funding due to increases in private monies. Another weakness may develop from the political ramifications of complaints by private businesses who have been impacted by department activities.

### **Stakeholder Perception**

The public (taxpayer organizations, citizens) may feel that the department has "sold out" to private industry, and that their concerns will not be considered in policy and decision making. Political entities may harbor similar concerns. They may be

concerned that public monies and manpower will be used for private purposes or gain.

Private business may welcome the opportunity to obtain quality law enforcement for their business interests. Private security companies may not support this strategy and may seek civil action to prevent what they perceive as an infringement of their enterprise.

### **STRATEGY #3 COMMERCIALIZE DEPARTMENT & FEE BASED SERVICES**

One of the advantages (pros) of this strategy is an increase in funding to offset the reduction in public budgets. Supplying services may create more interaction between law enforcement and the public, increasing communication and cooperation. The fee based service may also allow the department to retain or augment personnel due to increased funds.

The drawbacks (cons) include a potential for becoming a fee, rather than service based law enforcement agency; (i.e., the perception that members of the department will not serve unless they are paid first), public distrust; and the possibility for corruption in furnishing services; (i.e., the highest bidder receives the best service).

#### **Stakeholder Perception**

The public may support the supplying of professional services (commercialization), but object to user fees as double charging for services. They may also perceive the fee based operations as a potential for corruption. Public officials may view the increase in fee funding as justification to reduce budget

allocations to the department. Private enterprise, and their employee groups, may believe that the department is unfair competition to those businesses competing for similar markets.

### **PREFERRED STRATEGY**

Based on the analysis, a combination of Strategies #2 (Contracting) and #3 (Commercialize Department & Fee Based Service) emerges as the most productive organizational strategy to pursue. These three elements present the greatest advantage for the department and the community. Coupled with the potential for improved service to the community, they promote growth in service agreements with public and private business, generate funding through fee for service activities, and create areas of mutual cooperation and gain for all county law enforcement agencies.

### **IMPLEMENTATION PLAN (Phase IV)**

The success of any plan depends on a clear definition of who must implement it, when it is to be executed, cost of implementation, and ongoing monitoring to assure success. The achievement of the plan also requires the commitment of those who must implement and function within it. Achievement of the selected strategy will require recognition by the department's personnel, Board of Supervisors local police agencies, and the public, that such strategy will benefit the entire county. Its success will enable the department to continue supplying quality service.

The implementation plan is divided into components. Component I contains the



contracting for services elements. Component II includes commercialization. Component III represents the fee based activities. While the plan is divided into components, one is not exclusive or necessarily consecutive to another. Component I does not have to precede Component II, etc. Whichever component appears appropriate may be implemented first, or in conjunction with another.

The first step in implementation of any of the components is a meeting with the Sheriff, command staff, and all department personnel (including employee labor representatives), to inform them of the situation, the necessity of change, the strategy, and to enlist their support.

Step two involves "selling" the plan to the Board of Supervisors who must approve it. This is the responsibility of the Sheriff with the support of labor.

The third step is a statement informing the public of the changes, including the benefits of the strategy. Public meetings, led by the Sheriff and command staff, should be held prior to the implementation of the strategy. Discussions with service clubs and business organizations should help to increase public confidence in the elements of the change.

Step four involves the local police departments who will share in the major elements of the strategy. This step also requires the formation of a negotiating group within command and supervisory staff, for the purpose of developing guidelines for the three components: contracting, commercialization, and fee based activities. A professional marketing group should be employed to develop a program for marketing contract services to public and private enterprise. During the implementation of each

component, constant monitoring by command staff must be done in order to prevent or mitigate any problems which arise. They will also assess the success of the overall strategy.

### **NEGOTIATING ACCEPTANCE OF THE STRATEGY**

Each phase of the strategy involves different stakeholders. A plan to gain acceptance of Component I (contracting), must include educating the public regarding the cost of supplying services and decreasing public budgets. It will require that local police departments be involved in the preliminary steps taken to promote the strategy. This may require professional assistance from the marketing group and/or financial advisors. It also includes gaining the support of employee groups, who must be made aware that the funding will help offset budget decreases; thereby retaining staff and positions. The cost, type, and format of contracts are the only negotiable items in this phase of the strategy.

Component II (commercialization) and Component III (fee based service) approval will require employee acceptance for reasons similar to Component I. The "commercial" elements of Component II are not negotiable, nor are the primary elements of Component III.

It will also be necessary to convince the public that contracting for services is an opportunity to obtain funding for staff and materials, etc., through sources other than county taxes. The services of a professional marketing group should again be used to present potential clients with equitable and cost effective programs.

## **STAKEHOLDER'S POSITIONS**

### **- SHERIFF**

The Sheriff has the most to gain (or lose) of all the stakeholders. Although he has not actively pursued contracting (Component I), he recognizes it as a valuable method of increasing revenue and developing new market areas. He appreciates that this element of the strategy has the potential of increasing his political stature. It will also enhance his rapport with the community and other law enforcement agencies.

Component II (commercialization) will be met with resistance until it can be demonstrated that the department already performs many of the services without charge. This component only formalizes the services and establishes cost reimbursement schedules. Regarding fee based services (Component III), the Sheriff should be flexible on this element of the strategy. He is politically attentive, and will be receptive to the pressures of organized groups who have political "clout."

### **- COUNTY EMPLOYEE ORGANIZATIONS**

In a similar situation as the Sheriff, employee organizations need to maintain staff positions and budgets to remain politically viable. They will support all elements of the strategy if allowed input into the terms and conditions of specific activities.

### **- BUSINESS OWNERS**

Regarding Component III (fee based services), private enterprise will object to the fee based service as an attempt by the department to obtain more funds for the

same service. They should be flexible on this issue if given the facts and allowed input into fee structures. Business owners who have industries which will be affected by the special services offered (Component II) will object to that element of the strategy. They feel that these activities will negatively impact their business.

Component I (contracting) will be welcomed by large business owners as an opportunity to obtain professional law enforcement and related services, at competitive cost.

#### **- BOARD OF SUPERVISORS**

As the primary political group representing the entire county, the Board has a major role in the success or failure of the strategy. Under current regulations, they approve all contracts and have overall authority on fees for service. The board will be aware that funding levels are decreasing due to the recession and drought, as well as jurisdiction loss to cities. They recognize that other methods of recovering costs are necessary to help offset those losses. They will be resistant to instituting or increasing fees (Component III) for services already being delivered for fear of a public backlash. The Board may be suspicious of commercialization (component II) as an attempt by the department to become autonomous. They will require review and approval authority on all contracts (Component I) to insure adherence to law and procedure.

## **- POLICE DEPARTMENTS**

Since most city departments already have fee based services for many of their activities, they should remain neutral on most elements of Component III (fee based services). They will object to the fees charged for the booking of prisoners and other correctional services, although they may be flexible when given cost analysis facts.

In reference to Component I (contracting), they are also contracting with private enterprise for law enforcement services and will see this as an attempt to steal their business and encroach on their territory. They will not be flexible on this element unless a partnership is formed. Component II will also be met with resistance unless convinced that they will be allowed to participate.

## **- SNAILDARTER (TAXPAYER ORGANIZATIONS)**

Component I (contracting), will be seen by this group as privatization of law enforcement and a loss of control by the public. They will envision a scenario where the business owner with sufficient funds can create his/her own privately funded police force, utilizing peace officers hired and trained with county resources. This element of the strategy will also be seen as an attempt to increase the size of the bureaucracy within the department. These organizations will view Component III (fee based services), as county government demanding money for services they already pay taxes for. They may also question the validity of providing specialized services (Component II) to the public as a potential for corruption and preferential treatment.

## **NEGOTIATING STRATEGY**

Negotiating strategy is the blueprint in which a mutually acceptable agreement can take shape. It facilitates consensus by moving parties closer together, thus resolving conflict. Techniques outlined in the book "Getting to Yes", provide effective strategies to address individual concerns of stakeholders.

### **- SHERIFF**

This stakeholder recognizes that a "win-win" approach with mutual gain as the objective is necessary to "sell" the strategy to the other stakeholders. He realizes that these strategy elements are important to the future of the department.

### **- COUNTY EMPLOYEE ORGANIZATIONS**

These stakeholders must be approached using rationality and power as negotiating leverage. The organizations are aware that success of the strategy will ensure their survival and maintain their power and status in the county.

### **- BUSINESS OWNERS**

The stakeholders have individual interests but are all concerned with the viability of commercial enterprise in general. Rationality and "win-win" as negotiating leverage would be most effective.

## **- BOARD OF SUPERVISORS**

Psychological influence as leverage can be useful in dealing with this political entity. Political protocol could produce compromise and a "win-win" atmosphere.

## **- POLICE DEPARTMENTS**

By utilizing objective criteria and rationality, mutual gain components ("win-win") can be identified. These departments will share in the benefits of the strategy.

## **SNAILDARTER (TAXPAYER ORGANIZATIONS)**

This group must be convinced that the strategy will benefit them also. Rational communication is an effective bargaining lever for the department when dealing with this stakeholder.

## **STAKEHOLDER NEGOTIATIONS**

In negotiating Component I (contracting) with the Sheriff (Stakeholder #1), it would be appropriate to demonstrate the potential for increased revenues which he could use to offset budget decreases.

In addition, the political advantages of having shared contract and specialized service agreements with other local law enforcement agencies may enhance his stature in the community. It may also help reduce tensions between the departments. A similar tactic might be used for Component II (commercialization). In addition, Components I and II will involve an increase in contacts with the business community,

which has been instrumental in funding and supporting his election campaigns in the past. To gain the Sheriff's support, it must be proven that Component III (fee based services) charges are an appropriate method of recovering the cost of non-law enforcement services.

Negotiations with county employee organizations (Stakeholder #2) will require that they be convinced that Components II (commercialization) and III (fee based services) will offset funding decreases and help maintain staff and position levels within the department. They will be advised that employees will be compensated for participation in specialized service assignments and not be required to do so involuntarily.

Component I (contracting) negotiations will allow the groups to meet and confer with the department head and county officials on the terms and conditions of employment issues involved in any future contracts. They will also be assured that the assignments to contract activities will not be coerced. The employee groups must realize that it is only through creative strategies similar to these that revenues can be recovered and staffing levels maintained.

It must be demonstrated to Stakeholder #3 (business owners) through logical cost breakdowns, that Component III (fee based services) is not double charging for services they already pay for. These fees are necessary to finance those services which may be deleted or curtailed when public funding decreases. In reference to Component II (commercialization), contracts with local businesses could benefit both. For example, an agreement between the department and business to supply



equipment and materials for the new services could create new markets.

Business leaders must be allowed input into the conditions of contracting (Component I) in order to make them affordable and attractive. They need to be assured that costs associated with contracting are legitimate expenses. Entrepreneurs must also be convinced that this component of the strategy is an affordable means of obtaining professional law enforcement, and that they will be treated fairly.

Negotiations with the Board of Supervisors (Stakeholder #4) will entail utilizing tactics proving monetary advantage and mitigation of public distrust. As the budgeting agency for the county, the Board will be sensitive to the department's plight of decreasing revenues. It must be demonstrated (through forecasts of potential agreements) that Component I (contracting) will help to stabilize revenues and improve relations with city departments. As a political entity, they must be convinced that these increased service areas may improve their status in the community, and still allow them control over department activities.

Component III (fee based services) strategy will demand a different approach. It must be demonstrated that instituting fees (user fees) for non-law enforcement services is already being done by local police agencies, and the department must do so to remain competitive. They must also be assured that the fees will only be used to offset the cost of such services.

By providing specialized services (Component II) to the community, it must be illustrated that these services will not significantly impact local business and that they are a valuable and legitimate method of offsetting budget decreases. It must be

demonstrated that successful contracts, and agreements with local business and other agencies may enhance the Board's political stature and promote increased cooperation between the political entities.

Police departments (Stakeholder #5) will require different tactics from those commercial based and political stakeholders. The main strategy is to enlist their support as partners. Specialized services and contracts could be shared by the partners. Rather than becoming adversaries, agreements to participate in these strategy components could benefit all the agencies in the county. The formation of a county wide partnership between all law enforcement agencies would encourage standardization of fees, services, and procedures to the benefit of all stakeholders.

Negotiations with taxpayer organizations (Snaildarter) will involve guarantees that the department's new activities will be highly structured and open to review by public audit. They will also be assured that charges for service (Component III) will be based strictly on surveys of similar organizations' fee structure and actual cost. Component II negotiations will involve documentation of potential services and cost approximations. The group will also be given the opportunity to participate in committees which will supervise contract agreements, in addition to setting user fees. This may help to ensure that commercial techniques of management will be utilized to curtail potential bureaucratic increases.

This concludes the Strategic Plan part of the study. The remainder of this paper will focus on the development of a transition management plan to implement contracting, commercialization and fee based services in the sheriff's department.

The plan will address the development of a commitment strategy, the management structure to be employed during the change, and a listing of technologies and methods which may be employed to support implementation of the change.

## **SECTION THREE - Managing the Transition**

## COMMITMENT STRATEGY DEVELOPMENT

**Identification of the Critical Mass.** The critical mass is composed of those key personnel capable of making the change happen if they support it, or who can prevent the change if they oppose it. For any program to be successful, those individuals who are crucial to the change effort (the critical mass) must be committed to its success.

These key players must be identified and a decision made as to their current position in relation to the proposed change. Development of a transition management plan requires the formation of a strategy to obtain the desired level of commitment from the critical mass.

The author has identified the following 5 actors as the critical mass:

The Sheriff of Placer County

The Tahoe Sheriff's Substation Captain

The President of the Deputy Sheriff's Association

The Chairman of the Board of Supervisors

The Director of the Chamber of Commerce

**Commitment Charting.** The following table depicts the current level of commitment of each of the actors in the critical mass and the minimum level of commitment needed to make the change successful.

TABLE 5 - COMMITMENT CHART

Actors in Critical Mass	Block Change	Let Change Happen	Help Change Happen	Make Change Happen
Sheriff		X _____		_____ O
Tahoe Sub. Captain				XO
President of D.S.A.		X _____	_____ O	
Chairman Bd. of Sup.	X _____		_____ O	
Director of Chamber	X _____	_____ O		

X = Current level of commitment  
 O = Level of commitment needed

**COMMITMENT ACTORS' POSITIONS**

Following is a brief discussion of each actor's position and suggested strategies or influence to be employed to move him/her to the desired level of commitment.

**SHERIFF** - The Sheriff of Placer County was born in the county and "grew up" in the department he leads. He has been in office for 14 years and began his law enforcement career 34 years ago. He was originally elected on a platform calling for a change from the "good old boy" system of the previous administration, and continues to be elected using a "hard on crime" theme. Although he has rarely sought new funding sources and areas of service, he is receptive to innovative ideas from his command staff. He likes to be known as the "high tech sheriff" due to the many

technologically progressive programs he has initiated. It will be necessary to move him from the "let things happen" position to one of "make change happen."

To achieve this, the Tahoe Substation Captain who supports the strategy and is well liked by the Sheriff, will be called upon to "sell" the program to him. He must be shown that his department faces dramatic (and potentially devastating) changes in the future. He has to be convinced that it is imperative that he take the lead role in the strategy to make it successful. As the chief law enforcement officer in the county, he stands to gain status in the community by continuing his innovative approach to problem solving. The success of this strategy will potentially retain field staff lost due to reduction in jurisdiction, and open new areas of service for his direction and control.

**TAHOE SUBSTATION CAPTAIN** - The substation's Captain is a highly respected member of the Sheriff's management team and well liked by the rank and file as well as local politicians. As a recent graduate of the P.O.S.T. Command College, he is deeply committed to positive change within the organization. He is supportive of the strategy and views this change as an opportunity to maintain staffing levels and explore new sources of revenue.

The Captain currently occupies a position of "make change happen" and should remain there. His active support will help to convince the Sheriff and the D.S.A. president that the strategy is necessary.

**DEPUTY SHERIFF'S ASSOCIATION PRESIDENT** - The president of the D.S.A. is elected by the members annually. The D.S.A. represents all sworn members of the department excluding management (captains and above). The present head of the organization is a deputy sheriff and has been re-elected three times. He is very popular with the rank and file. As a strong advocate of personnel rights and benefits, he is willing to let change happen if it is beneficial to his organization's members.

He currently occupies a position of "let change happen" and must be moved to "help change happen." His assistance is necessary to convince the sworn members of the organization that the success of the strategy will directly benefit them by maintaining staffing levels and increased areas of service. The Tahoe Captain will be enlisted to meet with him and gain his support. He should be involved early in the process and made a team member.

**BOARD OF SUPERVISOR'S CHAIRMAN** - The Chairman of the Placer County Board of Supervisors is appointed by the other board members and serves a one year term. Otherwise, he/she serves a four year term as supervisor and is elected by district.

Although the Board does not control the Sheriff directly, they have approval authority on all contracts and funding sources. This authority could prevent the sheriff from entering into any new contracts without their prior approval.

As the leader of the county Board of Supervisors, the chairman is very politically attuned to the desires of the voters. Although not overly resistive to change, he is politically conservative and cautious about any modification of existing



formal structures and funding sources. The chairman is in the "block change" position in regard to the proposed strategy. Although he recognizes that services provided by the sheriff's department are becoming difficult to fund with existing monies, he is reluctant to support user fees to offset the deficit. Though he is aware that the sheriff's jurisdiction is shrinking, and innovation and creativity are necessary to maintain staffing levels, he is concerned that entering into new service areas may negatively impact local business.

The Sheriff will be called upon to enlist his support of the strategy and move him to the "help change happen." This will be done by convincing him that the strategy is necessary to maintain the viability of the department. He will be shown that loss of jurisdiction will cause the sheriff's department to lose position among other county law enforcement agencies. A smaller and less influential sheriff's department will negatively impact the Board of Supervisor's role in county government and result in their losing political status. This fact could negatively impact his re-election.

The strategy involves partnerships between the sheriff's department and local businesses to the benefit of both. This should offset any fears that the department's entry into new service areas will negatively impact local business. The success of the strategy will ultimately open new contract areas and supplemental sources of funding, increasing his (and the board's) status by showing innovation while still maintaining fiscal responsibility.

**CHAMBER OF COMMERCE DIRECTOR** - The Director of the Chamber of Commerce is elected by the chamber's members annually. The present chairman has been in that position for over five years and is highly respected in the business community. He also "grew up" in the county and is a personal friend of the sheriff. He supports the growth of business but also wants to maintain a rural atmosphere. He believes that charging user fees for services already provided constitutes double payment by the public. He also holds the opinion that public agencies becoming involved in private enterprise activities will harm local business. The director currently occupies a "block change" position and must be moved to one of "let change happen." The Sheriff will be enlisted to convince him that currently provided services are under funded by public monies and must be supplemented by the individual users. He must also be shown that the strategy will create partnerships between the sheriff's department and local business to the benefit of all. This will help to create new business, ultimately increasing his position and status as Director of the Chamber.

#### **TRANSITION MANAGEMENT STRUCTURE**

The transition state involves a unique set of organizational conditions which differ greatly from where the agency is currently, to where it must be in the future. Therefore, the management structure during transition must also be unique; it must be designed to effectively manage the change. This calls for a temporary arrangement different from the management of daily business, and the structure needed for the future after the transition is complete.

The Sheriff has neither the time nor the inclination to manage such a transition, therefore he has appointed the Tahoe Captain as the "project manager." The Sheriff recognizes the need for the Captain to give his complete attention to this assignment and will delegate his regular duties to others during the transition. This management structure is most desirable as the Tahoe Captain has an excellent working relationship with the Sheriff, Board of Supervisors and Deputy Sheriff's Association (D.S.A.). He is also well liked within the business community. His rapport with these important "critical mass" individuals will assist him in managing the variety of interpersonal conflicts which will inevitably arise.

Working with the project manager will be a Transition Team consisting of members of the various constituencies within the organization and the county. The team will include a member from the Board of Supervisors who will represent the board and deal with political implications of the change, the D.S.A. President who will be responsible for carrying information to and from his/her constituency, a line level supervisor (sergeant) who will represent the Sheriff's Department first line supervisors, the Chairman of the Chamber of Commerce who will act as representative to the commercial interests in the county, and a management level officer (another captain or lieutenant) who represents the Sheriff.

While the project manager retains overall authority to make decisions, the teams involvement is important to guarantee adequate representation from all involved. These member's involvement will also help to obtain a "buy-in" by the various informal group leaders and maintain open lines of communication to all levels.

## **Implementation Technologies**

Having identified the "critical mass" and the change management structure to be employed, it is now appropriate to address those technologies and methods which can be utilized to support implementation.

The transition, or change state, consists of a specific time period before the future state occurs. This unique period is characterized by certain organizational dynamics which must be recognized and addressed early on if the plan is to succeed.

Fear of the unknown and resistance to change are normal human traits. Because the transition state is by nature a state of change, feelings of uncertainty and instability are created in department staff. This creates apprehension and emotional stress on employees. Management may be perceived as inconsistent in its directives. There also exists a high level of energy, often negative and without direction. This energy must be controlled and directed toward positive enterprise. Elevated frustration and anxiety levels are to be expected. Conflict management needs to be a high priority during the transition stage.

The goal of the manager during this time is to provide certainty and stability to the organization. If he is to be successful, the project manager must be trusted, respected, and perceived as competent by the rank and file.

**Clarity of Vision** - The manager must clearly define his vision and make every effort to get commitment from the members of the organization and other concerned parties. In order to successfully effect the desired change, it is important that all involved

understand why the change is necessary and what the future holds for them and the organization.

**Rumor Control and Informational Systems** - Communication and information systems need to be developed. In order to have confidence in the plan and reduce stress, employees must be kept informed of progress and timeline successes. The project manager needs to develop mechanisms to control negative rumors before they become detrimental to the project. Two of these consist of a newsletter and a telephone hot-line to control rumors and disseminate information to the rank and file. The project manager can use these methods to stop inaccurate information in the early stages and prevent its spread through the organization.

**Feedback Loop** - To insure that appropriate information is getting to the end user and being correctly interpreted, the project manager must develop systems which guarantee feedback to him. Both short and long term systems must be developed which provide such intelligence. One such method is to seek out peer leaders and others who are the gathering points for information to make certain that facts are being disseminated to all involved personnel which have not been altered or filtered. Another method would be to have regular meetings with all involved to provide one-on-one information distribution.

**Organizational Confrontational Meetings** - Confrontational meetings with the entire department and with each division, offer a chance for individuals to express their

concerns and become better informed about the plan. This technique will assist the leader in gaining understanding and commitment from the entire staff.

**Responsibility Charting** - This technique requires that tasks and decisions needed to bring about change be clearly defined and listed. The individuals involved in making the change occur then decide who will be responsible, who must approve, who will support, and who needs to be informed. It serves to clarify the role relationships by reducing ambiguity, preventing duplication of effort, saving energy and reducing stress on the individuals involved in the change process.

**Team Building Workshops** - Once the transition is underway, team building workshops will be held to help develop a sense of ownership and pride in those who must implement the changes. These workshops can also be used for conflict resolution and goal setting if the project manager deems it necessary.

**Recognition of Milestones** - A timeline must be developed for the entire project and specific milestones identified. Milestones help to show visible successes in the transition plan, separation from the past, and progress in the attainment of the ultimate goal. As each milestone is reached, the project manager must officially recognize, publicize, and commemorate the achievement. This will help to keep everyone informed of progress and focused on the next milestone.

## **CONCLUSION**

Affecting change in an organization is a very difficult task. The manager must take into account all of those elements which could adversely impact the proposed change or he is destined to fail. The development and implementation of an effective transition management plan will help the project manager avoid these traps and encourage a much smoother organizational transition.

**APPENDIXES**



## APPENDIX A

### **NOMINAL GROUP TECHNIQUE**

The purpose of the technique is to gather a group of individuals from different disciplines together in order to generate ideas concerning a particular subject or issue. In this study, members of law enforcement were intermixed with concerned community members in an effort to obtain a balanced pool of ideas and thoughts.

The technique is useful:

1. To identify elements of a problem situation
2. To identify elements of a solution program
3. To establish priorities

It is designed to pool the information available from participants with backgrounds in the area being studied. There are six basic steps to reach a goal.

1. Silent generation of written ideas
2. Round Robin recording of ideas on a flip pad
3. Discussion for clarification
4. Preliminary vote on item importance
5. Discussion of the preliminary vote
6. Final vote

The purpose of this NGT was to:

1. Identify trends and events which would have an impact on the urbanization of rural sheriff's departments.
2. Examine the impact events would have on each other and the trends.

The NGT panel consisted of:

\* General manager of a public utility district

Mr. John Hassenplug

\* Local business owner, active in local and regional politics

Mr. Park Bechtold

\* Newspaper editor

Mr. Ken Heiman

\* Emergency communication specialist

Ms. C. Kelly Atchley

\* Regional Planner

Mr. Richard Munday

\* Police lieutenant

Mr. David Dennis

\* Sheriff's captain

Mr. Edward Bonner

\* Environmental specialist

Mr. Gary Barnett

\* Correctional officer

Mr. Jerry Hearn

\* Real estate developer

Ms. Karen Crane

The panel was supplied in advance with an information sheet outlining the target issue and sub-issues as well as trends and events which had been identified through scanning. Accompanying this was a sheet detailing the tasks required of the individual and how the process would unfold.

Dear Nominal Group Participant,

As I explained in my earlier phone call, we will soon be meeting to identify future trends and events which may influence the issue area. Utilizing specific techniques, we will quantify trends and events that could have some future impact on rural Northern California sheriff's departments.

### FUTURES STUDY

**WHAT IMPACT WILL THE URBANIZATION OF RURAL COUNTIES THROUGH ANNEXATION AND INCORPORATION HAVE ON NORTHERN CALIFORNIA SHERIFF'S DEPARTMENTS BY THE YEAR 2002?**

TIMELINE = 5 YRS., 10 YRS.

### SUB-ISSUES

- HOW WILL SHERIFF'S DEPARTMENTS DEAL WITH ANNEXATION AND INCORPORATION EFFORTS?
- WHAT METHODS ARE AVAILABLE TO ADDRESS THE IMPACT OF ANNEXATION OR INCORPORATION?
- HOW WILL A RURAL SHERIFF'S DEPARTMENT ADAPT AS A RESULT OF THESE IMPACTS?

**TRENDS:** A trend is defined as a fundamental descriptor of the future. They can be external, beyond our control, or internal, within our influence. Trends can be objective or subjective. Objective trends project data that can be verified. Subjective trends are more difficult to express other than in a soft way, i.e., a shift in community values. Trends must be measurable.

**EVENTS:** An event is a one-time occurrence. It either happens or it does not, and you know when it does. At the meeting you will identify events that could impact rural California law enforcement (sheriff's departments).

In an effort to save you time, I have included a preliminary list of the trends and events we will be considering. Could you please take some time and examine them, thinking about how they will relate to the future of rural California law enforcement (sheriff's departments).

At the meeting you will be asked the following:

**Trends:** For the purpose of top-level strategic planning, how valuable would it be to have a really good long range forecast of the trend?

And, to fill in a trend evaluation with the number 100 representing today. In relation to that number, you will be asked to forecast five years ago, five years from now, and ten years from now.

**Events:** You will be asked to predict that year the occurrence of each event first exceeds zero, and the probability of the event five and ten years from now. Each event, assuming it occurs, will then be evaluated on its impact from 0 - 10, both positive and negative, upon the future of rural California sheriff's departments.

You will then be asked to gauge the impact of each event upon the others and each event upon the trends; i.e., if event #1 occurred, how would the probability of event #2 occurring be impacted - would it increase by 50%, or decrease by 25%?, etc.

If you should have any questions regarding the content of this letter or the tasks we will engage in, please don't hesitate to call me at: (916) 581-6330.

Thank you again for your willingness to assist me with the project.

David L. Dennis

Attachment

Here's some of the trends I have identified and events that may occur based on the trends.

**Trends:**

1. Level of Sheriff's overall staffing
2. Level of political activity by Sheriff's Department
3. Level of Gang Population and Related Crimes in Unincorporated Areas
4. Level of Annexation and Incorporation of Unincorporated Areas
5. Amount of Farm Land Conversion to Housing Tracts
6. Level of Population in County
7. Level of cities' political activity to grow
8. Amount of change to urban environment from agricultural area
9. Level of county tax revenues
10. Level of demographic changes in the county

**Events:**

1. A small city incorporates
2. A large city annexes part of Sheriff's jurisdiction
3. Light rail opens in the county
4. The county's ability to pass on booking fees to cities is ruled illegal by courts
5. Narcotic seizure funds are taken away from counties by state
6. The county files bankruptcy
7. California divides into two states
8. A pro-growth supervisor is elected in the county
9. County farmers form a political action committee to prevent growth
10. The jail is taken away from the Sheriff by the Board of Supervisors
11. The jail population is reduced by the courts
12. A major civil settlement is decided against the Sheriff's Department for \$10 Million
13. A major high tech company relocates in the county
14. Light railway is built in the county

## APPENDIX B

### **MODIFIED POLICY DELPHI**

The modified policy delphi is a process designed to examine policy issues; generate strategic alternative approaches; analyze the feasibility and desirability of each alternative; and reduce the number of alternatives to a manageable number for more strategic analysis. A policy issue is defined as an issue for which rational individuals advocate differing solutions.

The procedure requires the assistance of a group of 8 to 10 individuals from various disciplines. They are assembled and given background information about a future environment. They are then asked to individually generate a policy/strategy to deal with the environment. The entire group is polled for strategies and each posted for viewing. The members rate each of the posted strategies on its feasibility and desirability in relation to the future environment. A rating of 1 (low) through 4 (high) is given for each. The scores are then totaled for each strategy. The top 3 strategies are discussed and arguments for/against are posted for view. The strategies are then re-rated using the same criteria. The top strategy or synthesis of strategies is then selected for action.

## APPENDIX C

### **ALTERNATIVE STRATEGIES**

#### **1. SPECIALIZED TEAMS**

Make highly trained, specialized teams (investigations, hazardous material disposal, gang task forces, clerical services, etc.) available to other departments and private enterprise for a fee.

#### **2. COMMERCIALIZE DEPARTMENT**

Generate revenue through service (i.e., provide security inspection services, high tech crime unit, patrol, general security training, laundry services, clerical pools, and mass produced goods to public institutions and business; training classes to the public (self-defense, driving, home and personal security, gun safety, survival training, etc.).

#### **3. CONTRACT TO OTHER CITIES, PRIVATE BUSINESS, FOR LAW ENFORCEMENT SERVICES.**

General police services (patrol and investigative services, etc.).

#### **4. FORMATION OF REGIONAL JAIL**

Form regional jail with other counties, cities, etc. to save on manpower and equipment costs.



## **5. CONTRACT PRISONERS**

"Rent" bed space to other agencies with overcrowded jails.

## **6. PROVIDE PRISONER LABOR**

Provide work "gangs", day laborers, etc., to other entities.

## **7. FORM POLITICAL ACTION COMMITTEES**

- a) Join with other counties in seeking legislative action to preserve vital county jurisdiction.
- b) Join with cities in mutual benefit pacts.

## **8. EMPHASIZE CORRECTIONS AND DE EMPHASIZE LAW ENFORCEMENT FUNCTION**

- a) Concentrate on expansion of correctional functions as well as court officer activities.
- b) Reduce patrol and law enforcement duties.

## **9. FEE BASED SERVICES**

Charge a fee for all services beyond basic police duties; (i.e., booking of prisoners, crime reports, vacation checks on homes, response to burglar or robbery alarms, licensing, etc.).

APPENDIX D

**STRATEGIC ASSUMPTION SURFACING TECHNIQUE**

		<b>CERTAIN</b>					
					SA SC SB SD	11A 11B	
					8A 2A 3C	4A 1B 5B 1D	
					9A 2B 10A	1A 3A 3B 4B 3D 5C 5A 6A	
					9B		
					1C 2C	SE	
			9D			<b>VERY</b>	
<b>UNIMPORTANT</b>		7A	6B	7B		<b>IMPORTANT</b>	
		9C		8B			
		7C		10B			
			<b>UNCERTAIN</b>				

## STAKEHOLDER ASSUMPTIONS

1. **Sheriff**
  - A. Increase Size and Status of Department
  - B. Retain Role in County
  - C. Retain Jurisdiction of Department
  - D. Maintain Confidence of Voters
  
2. **Employee Organizations**
  - A. Retain/Increase Staff
  - B. Increase Status in County
  - C. Increase Pay/Benefits
  
3. **Board of Supervisors**
  - A. Increase Revenues
  - B. Jurisdiction and Status
  - C. Maintain control Over County Departments
  - D. Maintain Confidence of Voters
  
4. **Police Departments**
  - A. Increase Budgets
  - B. Increase Size and Status
  
5. **City Councils**
  - A. Increase Revenues
  - B. Increase Jurisdiction and Status
  - C. Retain Confidence of Voters
  
6. **Developers**
  - A. Increase Development
  - B. Decrease Fees
  
7. **Environmentalists**
  - A. Maintain Rural Atmosphere
  - B. Retain Open Lands
  - C. Control Growth
  
8. **Business Owners**
  - A. Increase Customers
  - B. Decrease Taxes and Fees

**9. Citizens**

- A. Increased And Better Services
- B. Decrease in Crime
- C. Controlled Growth
- D. Retain Open Space

**10. Large Land Owners**

- A. Develop Land
- B. Decrease Taxes and Fees

**11. Private Security Firms**

- A. Retain Commercial Market
- B. Prevent Public Agency Competition

**SNAILDARTER**

**Taxpayer Organizations**

- A. Decrease Taxes and Fees
- B. Control Government Growth
- C. Limit Municipal and County Budgets
- D. More Services at Less Cost
- E. Less Government Bureaucracy

**APPENDIX E**

**STRATEGY RATING**

STRATEGY	D.S.T.	FE	COST	D.L.T.	S.S.	TOTAL
SPECIALIZED TEAMS	2	2	2	2	3	11
COMMERCIALIZE DEPARTMENT	3 3	3 3	4 4	4 4	4 4	18 18
CONTRACT FOR LAW ENFORCE. SERVICES	3 3	3 4	4 4	4 3	4 4	18 18
REGIONAL JAIL	3 2	2 2	2 3	3 2	3 3	13 12
CONTRACT PRISONERS	4 4	3 2	3 3	3 3	2 2	15 14
POLITICAL ACTION COMMITTEE	4	2	2	2	2	12
EMPHASIZE CORRECTIONS	2	2	2	3	2	11
FEE BASED SERVICES	4 4	4 4	4 4	4 4	3 3	19 19

N = 10

**Legend:**

**First Rating (all strategies)**

**Final Rating (top five strategies)**

- D.S.T. = DESIRABILITY SHORT TERM
- FE = FEASIBILITY.
- COST = COST
- D.S.T. = DESIRABILITY SHORT TERM
- S.S. = STAKEHOLDER SUPPORT
- TOTAL = TOTAL

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