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Over the years, the Guardia Civil has carried out an extensive awareness-raising effort with the publication of the Journal of Historical Studies (*Revista de Estudios Históricos*), a journal which has contributed to the improved general comprehension of the character, history, activities and functions of the Guardia Civil.

Since 1989, this journalistic effort aimed towards spreading a culture of security has led to the elaboration of the journal *Cuadernos de la Guardia Civil*.

This journal is a professional academic publication with original content. It is published bi-annually, offering a range of relevant content on topics such as national security, public safety, policing methods, risks and threats, in all sense of the phrase (historical, legal, strategical, tactical, etc.). Contributions are accepted in the form of research results, academic articles and book reviews. It is aimed at security experts, scholars and professionals, from both the public and the private sectors, students, as well as any citizen with an interest in the subject.

Cuadernos de la Guardia Civil is open to any author. There are two dates on which articles can be submitted: May 1st and November 1st. The first issue of each year is published in January, and the second one in July. Additionally, special issues or supplements can also be published. Article submissions will adhere to the publication guidelines as explained at the back of this issue. Submissions can also be sent in electronic form to: CAP-cuadernos@guardiacivil.org.

The evaluation and selection of the articles is carried out through a peer evaluation system, in which external evaluators work in conjunction with editorial staff, after which the articles are then approved by the Advisory Committee. Articles can be written in Spanish, English or French.

Cuadernos de la Guardia Civil is committed to maintaining its high ethical standards and places a special emphasis on adhering to the "Code of Conduct and Best Practice Guidelines for Journal Editors" of the Committee on Publication Ethics (COPE).

The contents of *Cuadernos de la Guardia Civil* are referenced in the following information resources: LATINDEX, DICE (Dissemination and Editorial Quality of Spanish Journals of Humanities, Social Sciences and Law) and DIALNET.

Its inclusion in the library system of the General State Administration through the KOBALI platform also merits special attention:

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This service enables users the ability to look up and conduct searches using any given bibliographical criterium (author, topic, keywords...) and to generate lists of results. Documents can be downloaded in PDF, Mobi and Epub formats. Additionally, it is possible to subscribe to an alert system which will notify the interested party whenever a new issue is published. This service can be requested at the following address: CAP-cuadernos@guardiacivil.org.

PREFACE

At the beginning of this, the 10th session under the Constitution of 1978, the President of the Spanish Government entrusted me with the governance of the Ministry of the Interior after several decades of working in the field of politics.

In order to meet this challenge and this commitment to Spain I had, and still have, the best possible allies: the members of our law enforcement agencies, both those within the Guardia Civil and those within the Police.

From my time as Civil Governor in Asturias, I was already aware that the Guardia Civil was composed of a group of professionals who were always prepared, who were committed to serving and who were completely invested in achieving the highest level of security and welfare for our citizens.

Now, as Minister of the Interior, I have ascertained once more that this vocation to serve is still very much alive and that it is because of this, among other things, that the Guardia Civil is the public Institution which inspires the most trust in Spanish citizens today. I completely understand the citizens, as the service which the Guardia Civil provides is an essential one which is very much deserving of the affection it has earned after 171 years of service.

I am certain that its social success, as well as its effectiveness in law enforcement, is due to the fact that they have consistently capitalized on their strengths. With 'strengths', I refer to the inherent qualities which are synonymous with this illustrious Institution.

First of all, I would like to recognize the face that the Guardia Civil knows how to assert the authentic and singular position it occupies within the police and security model as devised by the constituent and consolidated by the legislator. Although the Guardia Civil is not mentioned in the Spanish Constitution, its organic nature has been defined by the Constitutional Court as *tertium genus*, as a military security corps, a definition that is still present in the recent Act 29/2014 regarding staff regulations: they occupy a natural gap between the armed forces and the rest of the Police Corps.

As in other countries with security bodies of a military nature, the Guardia Civil occupies its own, exclusive position within our national security system that should not be considered as a mere political quirk, but an absolutely necessary feature of our political landscape. With such history, responsibilities and prestige, the Guardia Civil should not hesitate to exhibit a pride for their identity and their unique position.



Moreover, the Guardia Civil cannot be explained without first calling attention to its "meritorious spirit", as well as its capacity for self-sacrifice and its dedication to service. At its heart, the Guardia Civil offers a service of aid and assistance to our citizens, for whom its officers have always been ready to give their lives, with the ultimate goal of being a beacon of hope to those in distress.

In short, the Guardia Civil is a Corps with ethical values. Since its founding in 1844, its officers have learned how to interiorize "honor" as the most important value associated with the Guardia Civil. They have also interiorized the fact that "once you've lost it, you can never get it back", a determination that finds its ultimate expression in the *Cartilla de la Guardia Civil*, one of its founding documents in which its moral standards were set down, and one that has been updated over the years with different laws, such as the Security Forces and Corps Act, the Rights and Responsibilities of the Guardia Civil Law or the new Law of Public Staff, approved during this very term.

As Minister of the Interior, I have also been privileged to see the great technical and intellectual preparation of the officers, a rational element that complements the education of solid principles and values in the best possible way.

This is confirmed in the various editions published in "*Cuadernos de la Guardia Civil*", a publication that already has 50 editions and that it is showing to be a fertile area – unfortunately not very generalized – for thinking, reflecting and analyzing the different aspects that affect public security. Moreover, it is rewarding to see that a diversity of people who are not from the security forces but rather universities, law, politics or journalism, among other professions, have also participated in the publication of these texts.

On the occasion of this edition, I would like to congratulate those in charge of its publication for contributing to create a "culture of security" and a common space of participation that stands to show the validity of other essential values for the secular trajectory of this Institution, namely: impartiality and neutrality.

In this new phase of "*Cuadernos de la Guardia Civil*", I should like to conclude by expressing my best wishes for the future of this publication, a rigorous and efficient means of dissemination that helps this deserving Body and which will always have my highest esteem and appreciation.

Jorge Fernández Díaz
Minister of the Interior

PRESENTATION

“Cuadernos de la Guardia Civil” was born with its only limitations being intellectual rigor and respect for democratic principles and our constitutional and legal system. In that year, the Journal of Historical Studies, “Estudios Históricos”, took a new direction in the course of its long-standing career, widening the horizon of its studies, not only focusing on the past, but also on analyzing the present and the future of the Guardia Civil. This contributed to the clarity of its character as well as its activities and functions. It represented a big effort made in spreading the culture of security, which has been maintained since 1989 in what we could consider to be a successful collective effort that has made the Guardia Civil the institution Spanish citizens trust most.

In times of rapid change and growing uncertainty, we need to establish and consolidate forums for thinking and reflecting upon the aspects that conform public security and which help to shed light on the risks that our societies are faced with and the ways to confront them from a police and security perspective. “Cuadernos de la Guardia Civil” Journals contribute to achieve that aim.

Our goal is simple: to contribute, within our means, to make the world a more secure place, as a necessary medium for the exercising of rights and freedoms. It is an effort that requires a joint participation, due to the fact that knowledge geared towards the public service is not private property. In a changing environment with increasing complexity and high uncertainty, we need to put together both the sensitivities and capacities of all the members of a national security system, as pointed out in the National Security Strategy. To this end, the generation and spreading of a culture of security emerges as a pillar of that system, composed by the public sector, the private sector, NGOs, think-tanks and the citizens themselves as fundamental actors.

For this reason, “Cuadernos de la Guardia Civil” has emerged as an academic and professional publication, characterized by original articles and a biannual publication, with relevant contents about national and public security, police techniques, risks and threats, in all their dimensions. With this, we do not only attempt to interact with society and the citizens as a whole, but to support and strengthen the relationships between the practitioners in this field and a wider range of experts in security, scholars and professionals, both from the public and the private sector, where subjects are in their interest.

All of this has been carried out and we have strived to maintain the novelties in the different phases being absolutely true to our “leit motiv”: quality of the contents, intellectual rigor and respect of the truth and of our values, with a special emphasis on the



principles that inspire the “Code of conduct and best practices guidelines for journal editors” as outlined by the Committee on Publication Ethics (COPE).”

The topics covered in our Journal of Security are referenced in different information sources, such as LATINDEX, DICE (“Difusión y Calidad Editorial de las Revistas Españolas de Humanidades y Ciencias Sociales y Jurídicas”) and DIALNET. They are also included in the library system of the General State Administration by means of the platform KOBALI, which spreads our publication at a global level to anyone interested in its documentation.

The different contents have been expanded upon in 50 volumes and more than 565 published articles, covering historical topics the ilk of police techniques, national and international security, legal issues, risks and threats to our societies, management of the various elements of the Guardia Civil, or police models, as listed in the table below. They have also counted on the collaboration of a great number of recognized professionals from diverse fields, who wanted to share their knowledge with our readers.

CATEGORY	NUMBER OF ARTICLES
HISTORY	96
POLICE TECHNIQUES	21
SECURITY	101
LEGAL	172
RISKS AND THREATS	75
GUARDIA CIVIL MANAGEMENT	25
POLICE MODELS	65
SOCIETY	12

Recently, in this editorial, I welcomed the 3rd Phase of “Cuadernos de la Guardia Civil”, introducing its electronic format and thus its online dissemination via telematics technologies. At that point in time, we were enthusiastic about the need for renovation and the planning of a new journal model that would be more up-to-date and similar to all knowledge forums possible: academic, institutional and social.

Lastly, I should like to point out that in this edition you will find articles dealing with interesting topics such as strategy, quality, corporate social responsibility, the management of knowledge and the future of the Guardia Civil. I hope this edition of our magazine will be interesting for all its readers, in such a way that we might count on their loyalty for future editions.

Arsenio Fernández de Mesa Díaz del Río
Guardia Civil General Director

ÍNDICE

<i>PREFACE</i>	4
<i>PRESENTATION</i>	6
<i>APPLICATION OF THE BALANCED SCORECARD METHODOLOGY TO THE GUARDIA CIVIL: THE SIGEST PROJECT</i>	9
Manuel López Silvelo	
<i>INSTITUTIONAL HIGH LEVEL PLANNING</i>	30
Carlos de Miguel García	
<i>KNOWLEDGE MANAGEMENT AND CULTURE OF SECURITY</i>	45
José María Blanco Navarro	
<i>GUARDIA CIVIL AND THE FUTURE</i>	68
Carlos Caro Teller	
<i>SERVICES CHARTER OF THE GUARDIA CIVIL: A COMMITMENT TO THE CITIZENS</i>	80
Santiago García Martín	
<i>QUALITY IN THE CRIMINALISTICS SERVICE OF THE GUARDIA CIVIL</i>	106
José Juan Lucena Molina and Emilio Rodríguez Jiménez	
<i>CORPORATE SOCIAL RESPONSIBILITY IN THE GUARDIA CIVIL</i>	125
María Dolores Gimeno Durán and Santiago García Martín	
<i>INFORMATION ABOUT THE AUTHORS OF THIS VOLUME IN ALPHABETICAL ORDER</i>	151
<i>NORMAS PARA LOS AUTORES</i>	153

APPLICATION OF THE *BALANCED SCORECARD* METHODOLOGY TO THE GUARDIA CIVIL: *THE SIGEST PROJECT*

MANUEL LÓPEZ SILVELO

GENERAL STAFF OF OPERATIONS COMMAND OF GUARDIA CIVIL

ABSTRACT

In today's world, no public enterprise or organization, be it private or public, can afford not to justify their existence and their goals in order to become a key player within its field of activity.

Based on this fact, the Guardia Civil has adopted the *Balanced Scorecard* methodology, introducing a model of strategic management that allows for the conversion of the strategy of the organization into objectives that can be clearly displayed on a map. This model is based on planning systems already in place and has its sights set on the continued modernization and improvement of the quality of service delivered to the citizen.

These key objectives are measured through a number of indicators of success and are linked to various goals, initiatives and action plans facilitating the management of the various activities performed by the different Units. At the same time, this will enable us to visualize how the behavior of each and every Officer contributes to the achievement of the general objectives of the Guardia Civil.

Keywords: strategy, Balanced Scorecard, SIGEST, strategy planning, strategy management, strategic map, strategic objectives, Office of Strategy Management (OSM).

1. INTRODUCTION

The ability to cope with constant change should be a prerequisite of any modern organization that wishes to stay relevant in an increasingly-globalized world.

This reality demands that all institutions apply management models capable of combining the need to maintain strategic vision focused on their ultimate goal, with the natural adjustments and internal procedures necessary in order to achieve other, subsidiary goals.

Many enterprises and organizations do not struggle when it comes to defining the strategy they need to follow in order to achieve their goals. However, real difficulties can arise when translating said strategy into coherent processes in terms of allocating tasks, implementing these tasks and demanding accountability on the part of the employee in regards to their completion.

It is this lack of coordination, then, between defined strategic objectives and the processes necessary for their implementation that most fully illustrate the potential of the *Balanced Scorecard* (BSC), a concept developed by Professors Robert S. Kaplan and David P. Norton, of Harvard University.

The *Balanced Scorecard* is a system that allows us to combine the three basic aspects of the strategy: description, measurement and management. This enables the system to set out the planned trajectory of the organization as a whole in order to achieve those strategic objectives that will most decisively impact the goals of said organization.

As a dynamic institution, The Guardia Civil does not shy from the task of constant adaption so as to be able to offer the best possible service to society, which is, after all, the very reason for its existence.

Since 2005, the Guardia Civil has addressed the challenge of configuring a system that would define, manage and represent their strategy based on the *Balanced Scorecard* model. This system is aimed at identifying and establishing the general goals and objectives of the Institution, enabling it to serve the purposes for which it exists in the most effective way possible.

In able to do this, the Guardia Civil set up an extensive team formed by representatives of all areas of the Institution, which, with the initial advice of a specialized external consulting firm, created the Guardia Civil's first-level "*Strategic Map*".

While acknowledging the importance of this success, it should also be pointed out that this was only the first step in a much broader process, a process which we will try to describe in this report. It is thanks to this process that we can now consider the Guardia Civil an "Organization Focused on Strategy", as defined by the creators of the *Balanced Scorecard*¹.

2. THE STRATEGIC DIRECTION

In the twenty-first century, almost every world culture is confronted with great changes that have affected, currently affect and will affect its demographics, politics and society. We live in a time of profound change, characterized largely by the possibilities offered through increasing access to new technologies. *Globalization* and *uncertainty* are the defining features of this new "*Information Age*"².

It would be a mistake to adopt a simplistic outlook and not take into account that this is a much more radical change affecting both citizens and the societies of which they form an integral part. These citizens now have to adapt to new patterns of thinking, educating and interacting, both in their own environment and in others. Therefore, any type of institution, whether public or private, needs to adapt to this change, and, as far as possible, "predict" the future in order to be prepared to face it with concrete expectations of progress and improvement.

Every organization develops its activities in a particular situation, moment and under circumstances that affect them specifically, regardless of their nature or purpose. As a result, uncertainty becomes commonplace within the scope of their activities, which, at the same time, generates the need to implement measures to reduce this uncertainty as far as possible.

1 Strategy Focused Organization (SFO). KAPLAN, Robert. and NORTON, P. Cómo utilizar el Cuadro de Mando Integral. Barcelona: Gestión 2000 S.A. 2000. Pp. 7-36.

2 Idea developed by Professor DRUCKER, Peter F. La empresa en la sociedad que viene. Barcelona. Editorial Urano. 2003. P. 10.

On this basis, the strategic direction of every institution or agency should be prepared to establish and define their strategy, and, in doing so, be prepared to regard the planning, management and execution of a series of activities and actions in such a way so as to enable the complete and synergetic achievement of objectives, as an art. These goals will allow the institution to continue meeting its goals.

As a result, the executive balanced scorecard should develop specific strategies in order to meet said goals, which will guide the company towards its ideal (*vision*), within the parameters of their *raison d'être* (*mission*) while also taking into account the inherent idiosyncrasy and other aspects that form part of the very essence of the organization itself (*values*). The main objective with this is to enable the company to consolidate a strong market position, and thus allow them to obtain a specific product at a lower price than their competitors, or to provide a higher value to their shareholders.³

In 1990, Professors Kaplan and Norton carried out their studies within the context of this conceptual framework with the aim of exploring and creating new methods of measuring business performance.

The outcome of this project was the creation of the *Balanced Scorecard* system in 1992, whose ultimate goal is to meet the needs and concerns of the organization's executive team, while also facilitating the execution of a business strategy through its definition, measurement and management. In many cases, organizations that implemented this concept have achieved successful and innovative results thanks to this research.

3. APPROACH TO THE CONCEPT OF BALANCED SCORECARD

During the second half of the twentieth century, companies decided to use *financial assets* as a reference system for measuring the creation of value by these organizations. As a result, in order to keep track of the designed strategy, it was necessary to make use of the appropriate systems of measurement in place from which they could obtain the required information.

To this end, different methods based on financial accounting were developed, which enabled organizations to evaluate how investments in varying sectors, activities and business processes would imply a rise in the financial results. However, as time went by, it became obvious that these systems did not produce a reliable overview of the company, but instead static, partial and extremely inflexible results.

Against this background, Professors Kaplan and Norton began to carry out a research project with the aim of finding new methods of rating performance in companies. This project was focused on valuing the importance of employer *awareness* of any added values that employees could potentially impart, as well as the value of information technology in the business sector.

These studies discovered that, while the executive teams of the companies mainly focused on measurement systems, they often forgot to consider other factors. As a result, value could be created on the basis of financial results alone in the short term, but ultimately failed to account for long-term value creation. In order to resolve this issue

3 PORTER, Michael E. "What is strategy?" Harvard Business Review. November-December, 1996. Pp. 61-78.

in the long term, Kaplan and Norton supposed that several variables would have to be identified so as to be able to value the more intangible assets of the companies in a more effective way.

The results of this research were published in the prestigious Harvard Business Review⁴, and the concept *Balanced Scorecard* was established, adding three fresh perspectives to those traditional measurement systems reliant on the financial context of a company: *clients, internal processes, and learning and development*.

The practical applications of the Balanced Scorecard revealed that this system was useful for the both the valuation and evaluation of business performance as well as for linking each organization to its own mission, values and vision through the development of a corporate strategy allowing them to be competitive while generating value⁵. In other words, it enabled them to translate their strategy into coherent processes focused on attaining the goals of each department of the company.

The definition of specific strategic objectives within the frame of each of the perspectives mentioned above enables the establishment of a series of *cause-and-effect relationships*. As a result, any action taken in one perspective immediately has an impact on the others. In this way, emphasizing the correct alignment of intangible assets will prompt a better performance of internal processes, which consequently create a proposal of value for the clients, which, at the same time, contributes to an increase of the financial gains of the company.

This process creates the possibility of achieving an all-encompassing, global approach towards the organization's resources, thereby enabling the organization to, among other things, correctly implement the corporate strategy and translate this strategy into achievable tasks⁶; align itself with its own strategy, thus turning the strategy into an ongoing process; catalyze change through executive leadership; and increase employee awareness of the importance of their daily tasks.

At the same time, the *Balanced Scorecard*, through the creation of Strategic Maps⁷, offers the possibility of elaborating a graphic tool that makes it easier to explicitly visualize the cause-and-effect relationships which connect the different objectives defined within the aforementioned BSC perspectives⁸.

The great virtues of this concept can be found in the areas of *description* and *communication*. On the one hand, the Strategic Map enables the description of the processes of value creation and of the transformation of intangible values into tangible results. On the other hand, it provides both the executive team and the members of the

4 KAPLAN, Robert S. and NORTON, David P. "The Balanced Scorecard: Measures that drive performance". Harvard Business Review. January – February 1992. <https://hbr.org/1992/01/the-balanced-scorecard-measures-that-drive-performance-2>. (Accessed 21 November 2014).

5 KAPLAN, Robert S. and NORTON, David P. Cuadro de Mando Integral. 2nd Ed. Barcelona: Gestión 2000, S.A. 2002. Pp. 213 – 216.

6 KAPLAN, Robert S. and NORTON, David P. Cómo utilizar el Cuadro de Mando Integral. Op. cit. Pp. 14 – 25.

7 KAPLAN, Robert S. and NORTON, David P. "Having Trouble with your Strategy? Then Map it!". Harvard Business Review. January - February 2001. <https://hbr.org/2000/09/having-trouble-with-your-strategy-then-map-it> (Accessed 21 November 2014).

8 KAPLAN, Robert S. and NORTON, David P. Mapas Estratégicos: Convirtiendo los activos intangibles en resultados tangibles. Barcelona: Gestión 2000, S.A. 2005. Pp. 36 – 38.

organization as a whole with a tool for communicating and for familiarizing themselves with the strategic initiatives and action plans of the company; thus facilitating the timely completion of objectives.

4. THE APPLICATION OF THE BSC TO PUBLIC SECTOR COMPANIES.

Even though the BSC was initially aimed at companies in the private sector, the continual development of the concept and its subsequent adoption by certain public institutions proved both the BSC's flexibility as well as its usefulness in a sector that was it not originally designed for, that is to say, the public sector.

Using BSC simply as a measurement tool was a fairly uncomplicated concept. The difficulty in its application lay in trying to manage the organization's strategy itself as, in the majority of public sector cases, organizations had not explicitly defined their own strategies, limiting themselves to only working to achieve the assigned mission in a simplistic, short-term manner. The vision of how the institution could best and most efficiently develop its task of providing a public service had often not yet been defined.

This forced public sector organizations to change their idea of strategy. They were forced to finally define what precisely their mission and their institutional vision consisted of, as well as then enabling this information to reach all members of the organization, as well as facilitating the description of the tasks that had to be carried out by its members in order to achieve the now-clarified end goals.

It is also important to highlight the need for repurposing the perspectives described above within the private sector. It goes without saying that the financial and client perspectives of private companies have little in common with those of the public sector, where service to the citizen is the *raison d'être* of the enterprise.

Thus, taking all of the aforementioned arguments into account, we can conclude that the implementation of the BSC methodology in public sector institutions has the following advantages:

- It offers a clear vision of the situation of the institution in regards to citizens, the Government, other administrations and other interested parties.
- It articulates the organization's value creation regarding their interest groups.
- It shows the priorities and relationships between results and the best way in which to achieve them.
- It facilitates the description and execution of the institution's strategy by translating it into objectives, indicators of success and concrete goals which can be measured.
- It involves and determines different levels of responsibility regarding the achievement of the objectives of all those involved in the design of the corporation's strategy.
- It enables the broadcast, at all stages, of all key elements affecting the attainment of the strategy.

5. STRATEGIC PLANNING IN THE GUARDIA CIVIL

The concept of planning to the highest degree is not a new one within the Guardia Civil; it has a long tradition that runs parallel to the evolution of the support and advice bodies that have existed throughout the history of the Institution. The object of this article is not to analyze each of these individual bodies, but for present purposes it is sufficient to say that, at any given time in its history, there have always been different bodies within the Guardia Civil charged with carrying out the detailed scheduling of material and human resources at the Institution's disposal in order to respond to society's demand for security and in order to prevent the scattering and waste of resources.

It is the concept of "*scheduling*" the use of those material and human resources that we want to emphasize so as to highlight how the ultimate aim of strategic planning was dependent on the efficient and effective availability of those resources necessary for fulfilling the mission entrusted to the different Units of the Corps. These types of processes, from today's perspective, have evolved into what is currently known as "*global management systems*". They aim at a well-defined, measurable ultimate strategic objective for the Institution, which enables the possibility of offering a comprehensive vision while also combining the *raison d'être* of the Institution with its planned trajectory in regards to its vocation of providing a public service.

At the end of the 80s, some pioneers started to develop the idea of implementing their own system of planning within the Guardia Civil. In order to do so, they took the then popular "*System of Management by Objectives*"⁹ as a basis, in order to both define and structure corporate objectives and to establish the different fields of responsibility of each department so as to assure the interrelationship between goals and objectives, as well as the measurement and evaluation of the final results.

These studies finally took shape in 1998, when, through General Order No. 34 of December 29th, the Guardia Civil Internal Planning System was explicitly defined. According to this order, the planning system would take the form of a continuous process divided into two-year cycles. These cycles would allow for a series of strategic deadlines (short term, two years; medium term, six years; and long term, twelve years) to be established.

The cycle began with the evaluation of the reference framework of the Institution already in place, which derived from the creation of the *Planning Directive* by the Director General of the Guardia Civil. From there, the *Strategic Plan* was elaborated (or reviewed) in order to complete the long- and short-term objectives set out by this framework.

9 As an introduction, we may say that Management by Objectives (MBO) was a philosophy introduced for the first time in business management by Peter Drucker in his work "The Practice of Management" (1954). It can be defined as a system that, based on special attention paid to staff behavior and motivation at all levels and functional areas of the organization, tries to reveal the institution's primary goals, the results expected from each of its members, and the real value that each of these parties brings to the Institution. Thus, the MBO turns into a tool for the integration of sectoral planning within the organization's strategic planning. It aligns different types of objectives and acts as a point of reference for the analysis of problems, decision-making and the establishment of a coherent evaluation system which depends on the fulfillment of those objectives. All of this is carried out through a participative management model which facilitates delegation and decentralization.

The result of this was the creation of the *Global Objective Program of the Corps*, which, at the end of the cycle, was forwarded to the Planning and Budget Committee so that it could be included in the Budget Proposal made by the Director General of the Guardia Civil.

It is important to note that the Planning Cycle established was, from a conceptual point of view, a great leap forward. However, it also revealed a number of problems, two of which are important to highlight. On the one hand, a lack of clarity was found to be had in the connection between lower-level projects and the planning carried out by higher authorities (principally the State Secretariat for Security and the Ministry of the Interior); and, on the other hand, a lack of objective control methods was discovered, which obscured the measurement and evaluation of the scope of those goals.

Despite being realistic, the planning process anticipated by the General Order 34/98 was never properly completed. In 2005, this system was overwhelmed more by facts than by changes in regulation, and so it was improved in order to bring it more into line with a strategic planning model based on the *Systems Theory*. According to the Guardia Civil, this model is part of a set of interrelated elements that, even if they were divided into different structural parts, would still create a functional, unitary system. According to this theory (the so-called *Contingency Approach*), for every planning process, it is necessary to identify the particular situation and circumstances that will help to achieve the organization's goals at any given time.

Those were the foundations of the planning processes that culminated at the time of the approval of the *2005-2006 Short-Term Operational Strategic Plan*. The plan would later continue in the *2007-2008 Strategic Plan of the Police and the Guardia Civil (Specific Corporate Field of the Guardia Civil)*.

These documents combined the parameters created after establishing plans of action aimed at maximizing citizen security levels within the Guardia Civil itself and within the framework of a comprehensive system of Public Security.

In order to ensure a proper understanding of the moment in which the first of the plans mentioned above was elaborated, it is necessary to mention the creation of the *Executive Committee for the Unified Command of the State Security Forces and Corps (CEMU in Spanish)*¹⁰ in 2004. The CEMU had the responsibility of ensuring organic and operational coordination between the National Police Corps and the Guardia Civil, and, in particular, “*elaborating, executing and monitoring the programs, procedures and services which are ingrained in both Institutions, with the aim of ensuring the organic and operational coordination of the State Security Forces*”¹¹.

10 INT/1251/2004 Order of May 7th, by which the Executive Committee for the Unified Command of the State Security Forces and Corps was established.

11 It was at this hearing that the six strategic pillars on which this policy was going to be founded were also made public. These pillars were as follows: first, the fight against terrorism as the main priority of the security policy; second, the modernization and reinforcement of the State's tools of operation; third, the improvement of the fight against crime; fourth, the implementation of specific actions in order to protect risk groups; fifth, the reinforcement of monitoring and cooperation with the private security sector; and finally, transparency and participation in the implementation and development of the security policy.

In order to complete the frame of reference, we first need to mention the appearance of the Spanish Secretary of State for Security before the Interior Committee of the Spanish Parliament on September 15th 2004, during which he outlined the Security Policy that was going to be developed in the 2004-2008 Legislature.

The use of the aforementioned five pillars sheds some light on the process of strategic planning within the Institution¹². Each pillar set their individual priorities and was turned into a *Functional Area of Activity* in the later elaborated *Operational Strategic Plan*. Despite many difficulties, not to mention its paradoxical name (from a purely theoretical point of view, a strategic plan should not be considered 'operational', nor should it be initially conceived for being valid only in the short term), this document was approved by the *CEMU* on May 3rd 2005.

Without going into greater detail in regards to the technical aspects of defining areas of operation as well as objectives both general and specific, or in regards to the thorough system of control established through specific indicators of success for each of them, the real importance of the Plan must be understood from the perspective that it constituted a decisive leap of quality within the Institution's planning systems. The Plan was the first strategic document of its kind within the organization, and it was completed and evaluated throughout its period of validity, serving as a basis for a future strategic planning.

Based on these pillars, the above-mentioned Plan of 2007-2008 was conceived on a new theoretical basis, not only because of the scope it was covering – the Guardia Civil and National Police Corps –, but also because it covered other aspects that went beyond solely operational issues in order to deal with aspects related to human and material resources.¹³

As of the last trimester of 2006, a large working group composed of representatives from the Deputy Directorate for Operations and the General Sub-Directorates for Personnel and Support was formed, bringing a multidisciplinary vision to the new Plan.

The resulting initial document established the guidelines for a strategic plan which would work as a basis for the drafting of the Strategic Plan of the Police and the Guardia Civil, with distinct parts for each individual body. This new Plan also represented a continuation of the previous one in regards to the definition of strategic objectives and its development so as to achieve specific, well-defined goals.

In conclusion, we can agree that the conception and, where appropriate, the development of the above-mentioned plans enabled an increase in the levels of efficiency and efficacy in the fulfillment of the missions entrusted to the Guardia Civil. It also facilitated the Institution's intervention on different levels of decision-making as well as its coordination with the State's Security Forces through its use of specific measures to monitor its own activity.

12 The sixth pillar, focused on transparency and participation in the development of the Security Policy, tried to promote a greater role of society in the administration of Public Security and was believed not to influence the State Security Forces and Corps.

13 When analyzing the historical context in which this document was created and approved, we must take into account the entry into force of the Royal Legislative Decree 991/2006 of September 8th on the development of the basic structure of the Ministry of the Interior. This Decree created the Directorate-General of the National Police Force and the Guardia Civil, which were two different bodies beforehand.

6. STRATEGIC MANAGEMENT IN THE GUARDIA CIVIL: THE SIGEST PROJECT¹⁴

After the second term of 2005, the challenge of configuring a system for the definition, management, description and communication of the strategy itself was taken on by the Technical Office of the General Director of the Guardia Civil. The main objectives included: pointing out the critical elements of the missions entrusted to the Corps, highlighting their strengths, identifying weaknesses and determining areas for improvement in order to establish comprehensive objectives and goals.

The *initial directive* of the development of the project, known as the “*Strategic Management System*” (*SIGEST*), concluded that the methodology to be implemented within the Institution should be based on the BSC model. The implementation of this project was entrusted to a wide-ranging *Committee* composed of representatives from the Guardia Civil General Director’s Technical Office, the Operational Management Division and the Support Staff Sub-Directorate General, under the control of a general officer, who acted as director of the project.

The studies carried out throughout the project were periodically submitted to a *Project Validation and Monitoring Committee*, formed by the Deputy Director for Operations, the Assistant Directors General for Personnel and Support and the General-in-chief of the Office of the Director General, who made key decisions relating to these studies.

A UTE (*Union Temporal de Empresas*, a temporary cooperation between different companies formed to realize a specific project), founded with the consulting firms EVERIS¹⁵ and PALLADIUM¹⁶, gave *external advice* on the elaboration of the projects at all times. They provided technical and specialized support to the Committee in order to adapt the basic concepts of the BSC system to those of the Guardia Civil.

7. THE STRATEGIC MAP OF THE GUARDIA CIVIL

The system used in order to develop the aforementioned project was primarily based on several interviews carried out by the staff of the working team with a number of people who were considered to be fundamental within the Institution. The project was also based on a detailed analysis of the documentation required; on meetings and on individual research that finally resulted in the approval of the “*Strategic Map of the*

14 More information about this can be found in the corporate Intranet: <http://www.intranet.gc/export/sites/guardiaCivil/es/portalGuardia/interesProfesional/sistemaGestionEstrategica/index.html> (Accessed 24 October 2014).

15 EVERIS is a multinational consulting firm providing business and strategy solutions, application development, maintenance, and outsourcing services. It has developed their own methodology in which it tries to create personalized solutions for each of its clients. (Source: www.everis.com. Accessed 24 October 2014)

16 PALLADIUM is a consulting firm specialized in “Strategy Execution”, optimizing the connection between theory and practice in order to achieve the goals of the organization. Thus, the company develops its own proven methodology to give its clients the capabilities and internal processes, which allow for the alignment of all assets in order to reach its strategies and goals. In doing so, it has the development of the “Balanced Scorecard” methodology at its heart (This is a free version of the information from the website www.thepalladiumgroup.com. Accessed 24 October 2014)

*Institution*¹⁷ by the Validation and Monitoring Committee in November 2007. This map was then published during the first months of 2008.

The initial stage in the creation of the Strategic Map of the Institution was marked by a series of basic considerations that, at the time, served both as a guide and as a boundary for the correct approach and scale of the project itself. The considerations that were taken into account can be summarized in the following key points:

- The creation of the Strategic Map was intended to reflect the objectives considered key for the Guardia Civil as an institution, specifying the contribution of all the different areas to the Corps' overall strategy¹⁸.
- The completion of the inferred strategic objectives was aimed at the medium- to long-term. This detail differentiated them from other objectives, which were also important, but of a more immediate nature.
- The objectives proposed tried to show the elements that were considered key for the Institution at that point in time. This does not mean, however, that other, equally important objectives were disallowed in order to align the Institution's interests with that of the main objective alone, but rather that they had to be managed from an operational, or even tactical, level.
- The elaboration of the Strategic Map should not imply, in any case, a break with the existent strategical trajectory¹⁹. The strategic objectives proposed were identified after the current working plans and after the prioritization made by key employees from all branches of the Institution.

The Strategic Map was updated during the second and third trimesters of 2014. The higher ranks of the Institution definitively approved this evolution during the first months of 2015. This process of development been marked by reaffirmation and continuity with regards to the basic pillars that were at the heart of the first Map. The update aims to readjust certain aspects considered more pertinent at this point in time, as well as to modify and renew certain objectives that have already been achieved or on which we should focus in the middle term, as a result of more specific and recent lines of action.

Leaving behind this rudimentary introduction to the elaboration process, we will now present a descriptive vision of the different elements of which the Strategic Map is composed. In order to do this, we will begin with the analysis of the *mission*, understood as the purpose or *raison d'être* of the Institution, which can be summed up in the following quotation: "*Guaranteeing the public security and assisting all the citizens with proximity and excellence, contributing by doing so to the society well-being*". We would like to point out three different concepts raised by this quotation:

17 The Strategic Map of the Guardia Civil is available online at the following link: http://www.intranet.gc/export/sites/guardiaCivil/documentos/estado_mayor/mapa_estrategi-co.ppt (Accessed 24 October 2014)

18 In accordance with the methodology described in KAPLAN, Robert S. and NORTON, David P. "Mapas Estratégicos: Convirtiendo los activos intangibles en resultados tangibles". Op. cit. Pp. 34 – 43.

19 As claimed in the studies carried out by ANDREU ALEBARTA, Eduardo and MARTÍNEZ VILANOVA – MARTÍNEZ, Rafael. "Cómo gestionar una PYME mediante el Cuadro de Mando". Madrid: Editorial ESIC. 2007. Pp. 29 – 59.

- The concept of “*public security*” as part of a larger one, that of “*Civic Security*”, which focuses on the field of activity in which the Security Forces operate in a more realistic manner.
- The emphasis of “*proximity*” in the service to the citizens as a characteristic central to the Institution since its foundation. The Guardia Civil is an institution whose jurisdiction is spread wider than that of a traditional police force. Before taking into consideration the many specific functions in which the Guardia Civil already plays a role, be it in conjunction or coordination with state security forces, with autonomous security forces or with local existing security forces, the Institution is also recognized as a key element in the structure of the State, often representing the only governmental presence in many towns throughout the country through an operational network of 2000 employees in the direct service of the Spanish citizen.
- Finally, the concept of “*excellence*” in the service to all citizens. This demonstrates the need to strive towards continuous improvement of the level of security of the citizens, while at the same time satisfying citizens’ existing needs for assistance, information and attention through the provision of services at the highest possible quality.

The *vision* can be defined as a description of the desired future existence of the Institution, which is at the same time attainable. It expresses the desires of the organization on a medium- to long-term timescale. The statement “*to be a security force of military nature close to the citizens and referent for its quality, versatility and availability*” demonstrates a perspective marked by the search for quality in the provision of services and for a maximization of their capacity for *versatility*, as well as a focus on the capacity for adaptation due to the ever-changing circumstances in which the Guardia Civil works, and of a focus on *availability*, responding to the citizens’ security needs and demands with the aim of efficiently and effectively achieving the mission with which they are entrusted. All of these tasks are carried out while, in turn, also maintaining the differential quality of the Guardia Civil, a quality ensured by the military nature of the Institution.

Theoretically speaking, these *values* constitute a pattern which we can use to guide and describe the behavior of the staff within the organization. These values also determine their relationships and how they are practiced, transmitted and reaffirmed by its members.

It is hard to express which values are considered of prime interest in an institution such as the Guardia Civil, which has a strong organizational culture rooted in its extensive history. However, for the purposes of this report we have chosen to mention those values that will be highlighted by the Strategic Map during its period of validity and which include the following:

- *Honor*: Understood as the moral quality that leads to the precise fulfillment of duty, towards oneself as well as towards others, a value that should inspire all the actions of our community.
- *Spirit of service*: Understood as the disposition to provide any service, as well as the constant desire to be loyal to the purposes of command, with love for responsibility and the spirit of initiative.

- *Discipline*: A factor common to all military virtues that has its expression in the observance of the norms and the responsible carrying out of given orders.
- *Loyalty and fellowship*: These are understood to be the two pillars upon which our willingness to carry out our mission in a way that shows we care is based.

To continue with our analysis of the Map, a certain prominence gained by the citizens and other priority groups can be clearly observed from an *outside perspective* when it comes to targeting the activities of the Operational Units of the Institution. The goal of these Units is to contribute to the “*well-being of society with local, quality services*”. The objectives which are set as a result of this perspective are those which distinguish the service offered by the Guardia Civil to the *citizens*, whose security must be guaranteed and to whom they must offer necessary assistance, protection and information. The Guardia Civil also offers their services to the *Public Administration* (at three levels: central, autonomic and local, as referred to in the Spanish Constitution), as well as to *other bodies*, including organizations and entities on levels both national and international, with whom it is necessary to establish channels of cooperation, collaboration, coordination and support.

If we analyze the Map from an *internal perspective*, we need to note firstly that it embodies exactly that which Norton and Kaplan originally named perspectives of internal processes: perspectives of learning, growth and financial capital. In the Map, these perspectives have adopted the following names: perspectives of *internal processes*, *human and organizational capital*, and *physical capital*, respectively²⁰

The aforementioned discussed *internal processes* are responses to the need to focus the internal activities of the organization in those processes considered *critical* in terms of achieving the objectives of both the citizens and of interested parties. The aim of this is to show which of these objectives are key in offering an added value to the development of the corporate strategy and, in this manner, to attempt to answer the following question: *in which processes should we excel in order to best satisfy the needs of our clients?* Under this heading, nine strategic objectives have been defined within the boundaries of three slogans: “*police efficiency for the benefit of the citizens*”, “*public image visibility and reinforcement of our identity*” and “*consolidated relationships*”.

The strategic objectives related to the *human and organizational capital* are an attempt to focus their efforts on the basic human resources that allow for the achievement of excellence in key internal processes. To this end, five strategic objectives have been determined, which can be grouped under the maxim: “*Members of the Guardia Civil who are skilled, committed and eager in their work*”.

Regarding the objectives described in the section related to *physical capital*, we could point out that these objectives are an attempt to guide organizational efforts and to establish the material resources that will enable the achievement of excellence in key internal processes. The three strategic objectives described in this field are offshoots of the motto: “*Resources related to needs and priorities*”.

The Guardia Civil Strategic Map is a cornerstone in the promotion and demonstration of the overall strategy of the Institution. It is just as valid for the members of the

20 As described in KAPLAN, Robert S. and NORTON, David P. “Cómo utilizar el Cuadro de Mando Integral”. Op. cit. Pp. 145 – 175.

Institution as for all the citizens who wish to get closer to it in order to gain a more detailed knowledge of the Institution's inner workings.

The Map allows us to observe the strategic objectives and the links between them. The knowledge and control of these interrelations will allow the Institution to establishing strategic courses of action and initiatives, contributing to the realization of these defined objectives.

8. THE GUARDIA CIVIL OFFICE OF STRATEGY MANAGEMENT

As previously pointed out, the main problem identified by professors Kaplan and Norton is the disconnection between the objectives that have been defined as strategic, and the procedures developed in order to achieve them. This fact will constitute the starting point for the development of a third concept which, when combined with the perspectives presented in the Integrated Board Control and the Strategic Map, will aid the configuration of the concept of the Balanced Scorecard in its totality.

The *Office of Strategy Management (OSM)*²¹ was designed to be an agency responsible for serving as a link between all the agents that participate in the creation of the institutional strategy on the one hand, and in its management, on the other. At the same time, this office acts as the "*conscience*" of the organization, thus making it a key element in ensuring the completion of the predefined objectives in activities carried out by the Guardia Civil.

In this manner, the Office of Strategy Management shall be able to facilitate, among others, the development of the following tasks²²:

- Strengthening the level of commitment and motivation of those stakeholders called to form the Strategic Management System through the creation of adequate networks of communication and collaboration between them.
- Coordinating the development of strategic maps at lower levels or of those in which specific plans of action for the organization are developed, through protecting the correct alignment of the particular objectives of each individual body in charge of accomplishing their ultimate objectives.
- Harmonizing the processes that allow for the identification of strategic initiatives, their goals and evolution.
- Coordinating the follow-up procedure and the systematic control of the defined strategic objectives.
- Boosting the communication of the institutional strategy to others, both at an internal level and, wherever possible, at an external level.

The *Guardia Civil Office of Strategy Management* was put into practice during the first semester of 2008, following the processes described above, with a system of regulation based more on tangible results than on following strict guidelines.

21 KAPLAN, Robert S. and NORTON, David P. "The Office of Strategy Management". Harvard Business Review. October 2005 (Latin American Version). Reprint R0510D-E. 2005. Pp. 64 – 74.

22 Conclusions made on the theory established under the heading of "Qué hace una buena OSM" in KAPLAN, Robert S. and NORTON, David P. "The Office of Strategy Management". Loc. cit. Pp. 64 – 74.

When first putting this office into operation, the first issue we were faced with was determining where to place it inside the natural structure of the Institution. Taking into account that, by its own doctrinal definition, the Office should be placed *“in the body in which it could act most effectively, for which two factors need to be met: this body has to carry a certain significance when it comes to designing the corporate strategy and this body also has to have the capacity to exert an influence on the organization in order for its decisions to be taken into account”*²³. The first problem that arose was determining which level within the organization was most appropriate. The second problem was taking into account the passing of Royal legislative Decree 911/2006 of the 8th of September, which concerned the development of the basic structure of the Ministry of the Interior, unifying the National Police and Guardia Civil Corps institutions under the same Directorate-General.

Taking into account the criteria described above, it was decided to ascribe the responsibilities of this Office to that of the Deputy Directorate for Operations of the Guardia Civil. Under this premise, the Office of Strategy Management was created within the “Plans and Reviews of Military Staff” Office, dependent on the Deputy Directorate for Operations. This Office was determined the body in charge of boosting the implementation of the new Strategic Management System and of coordinating the different units involved to this effect.

The General Direction of the Guardia Civil was created afresh after the approval of the Royal legislative Decree 400/2012 of the 17th of February. This decree established the basic organic structure of the Ministry of the Interior, as well as the full validity of the Order of the Office of the Prime Minister 422/2013 of the 15th of March, which redeveloped the organic structure of the Central Services of the Guardia Civil Senior Management, and established that, in practice, the Office of Strategic Management will operate within the “Operational Sub-Division Studies and Analysis Unit”²⁴.

From the moment of its creation, the main task of this office was to formalize a system of relationships and interdependencies between the members of all the bodies contributing towards the conception and execution of the overall institutional strategy.

To this end, a *“Facilitating Network”* has been created in order to guarantee the concurrence of the priorities that, at every moment and within their respective areas, contribute towards the design of the Personnel and Support Sub-Directions, which, at an operational level, will be established by the Deputy Directorate for Operations. At the heart of the creation of this network is the aim of establishing the Guardia Civil as a security body, whose ultimate aim is to offer the best quality service to the citizen.

The group of experts in this field has been responsible for carrying out the appropriate studies to define the goals which each strategic objective strives towards, within the framework of each of the indicators of success. They have also been responsible for creating a procedure to determine the deadlines and the outline of the follow-

23 Based on “Posicionar y dotar la OSM”, included in KAPLAN, Robert S. and NORTON, David P. “The Office of Strategy Management”. Loc. cit. Pp. 64 – 74.

24 In order to correctly understand this interpretation, we need to take into account that this Unit of Studies and Analysis has been constituted as a Functional Unity, on the personal base and structure of the Section of Plans and Studies of the Chief of Staff, that is right now accountable to the Balanced Scorecard, that at the same time relies on the Operational Adjunct Direction.

up document evaluating the success levels of the completed objectives as well as feedback in regards to the correction of any potential diversions from the objectives.

To sum up, the Guardia Civil Strategic Management Office has breathed new life into the organization. The centralization of formative, communicative and managerial activities, as well as the communication of this information to other institutions and bodies, both national and international, are just some of the steps that have been taken in the process of implementing the *Balanced Scorecard* Methodology within the Guardia Civil.

9. MANAGING THE CHANGE ASSOCIATED WITH THE IMPLEMENTATION PROCESS OF THE BALANCED SCORECARD IN THE GUARDIA CIVIL

Within the framework of the implementation process of the *Balanced Scorecard* Methodology in the Guardia Civil, it was necessary to implement a facilitation of change, a process which was developed in parallel with the activities and projects as mentioned above, and which had the following objectives as their final aim²⁵:

- Involving all the staff of the Institution in the new strategic planning model with a determined level of specifications regarding each level of responsibility. This was an attempt to facilitate the internalization of the new management values expected to be implemented with the completion of the project.
- Guaranteeing the transparency of information and communication throughout the development process of implementing the Balanced Scorecard Methodology into the heart of the Guardia Civil.
- Creating the adequate internal infrastructure for communication in order to carry out the changes necessary for its proper development.
- Mitigating any possible resistance to the change on the part of the staff of the Institution.
- Developing action points aimed at facilitating the organizational transition towards the new model of Strategic Management at an institutional level.

Ultimately, the aim of these initiatives was to avoid a common mistake in the process of evolution within organizations: that of forgetting the importance of the changes when trying to implement a new methodology within them. For this reason, several formative actions were developed for specific collectives that could catalyze or habituate this process²⁶.

These lines of action were complemented with a broad catalog of *communication activities* in order for personnel to get to know the project and, by doing so, to motivate

25 Conclusions based on the theory described by JERICÓ, Pilar "NoMiedo. En la empresa y en la vida". Barcelona: Alienta Editorial. 2006. Pp. 103 – 136.

26 To provide some examples, albeit non-exhaustive, we could cite those presented for various promotions since 2008 from the Training Course for the Promotion to Commander of Upper-Level Management Officials; the Course for the Promotion to Lieutenant Colonel of Upper-Level Management Officials or the Higher Course of Technical and Economical Management. At the same time, in every edition of the Course of the Chief of Staff from 2009 until the present day, there have been several conferences related to the development of the Balanced Scorecard in the Guardia Civil as part of the Common Phase of the Course, which are addressed to all participants.

and involve all members of the Institution in the initiative. The ultimate objective was to get a positive and active collaboration of the staff, so that a solid foundation for success could be created.

For these very reasons, the institutional commitment to constantly transfer coherent and appropriate information about the project, its evolution and state, was made clear. The messages were elaborated in such a way that they could adapt to each potential audience, taking into account their motivations, level of training, degree of responsibility and the degree of potential use they could be to the system. In this way, the users would not only feel informed, but involved.

Another line of action which was followed as part of this internal communication endeavor was enabling access to this information through the medium of the “*Corporate Intranet*”. A specific thread in the “*Institutional Information*” section was created inside this communication network with a general introduction and a detailed study of the Strategic Map of the Institution.

At the same time, it may serve to make a brief mention of the external communication directed at those people not directly involved with the Guardia Civil, who could be affected by the implementation of the new Strategic Management System. The Strategic Management Office kick-started and coordinated the elaboration of all content related to this issue, which was published in the corresponding section of “*the Official Website of the Guardia Civil*”²⁷.

In order to further emphasize the wide-ranging vision we have been addressing, it is important to highlight the participation of Institutional personnel in a vast number of specialized courses, seminars and conferences which were coordinated by private or public entities. In addition, in order to focus on the context of the Institution as an organization which is active in many fields of activity, within the military and law-enforcement spheres, both in Spain and abroad.

In these discussion forums, the Guardia Civil has proven to be a valid and solvent interlocutor in demonstrating its experience when it comes to the correct execution of a strategic management system.

10. CONCLUSIONS

Throughout this study, we have tried to go into detail about the development process of the concept of strategic management inside the Guardia Civil and how it has evolved until the present day, with the progressive implementation of a management model based on the *Balanced Scorecard* methodology.

In order to do so, we began with the basis that the concept of strategic management has not been a foreign one to the Institution throughout its history. However, either to a greater or lesser extent, it has always had systems in place to meet these needs appropriately that, at first, were only focused on the operational level. Later on, this focus moved to other spheres more closely related to the tasks of the Institution.

Even though the majority of companies and organizations nowadays have developed a clearly-defined strategy they need in order to reach their goals, the real problems

27 <http://www.guardiacivil.es/es/institucional/gesestrategi/index.html> (Accessed 18 November 2014)

arise when it comes to “*implementing*” this strategy. This means that they cannot translate it into a clear description of their main objectives and the specific areas of responsibility of the different bodies of which these Institutions are composed.

Surmounting this disconnection is at the core of the concept *Strategic Management*, which, on a practical level, translates into the necessity of depending on a management structure which is capable of leading and defining necessary objectives so that the Institution can reach its goals, as well as of establishing the guidelines for each of their units. Furthermore, these guidelines need to be flexible enough to cope with the upheavals and difficulties that might appear.

The Balanced Scorecard concept developed by professors Kaplan and Norton is an effective model of strategy management that gives a complete vision of what the organization is and what it wants to be, taking into account the values of its own organizational culture.

The *Balanced Scorecard* allows the organization in question to overcome the concept of being a mere tool for control and gives it a new way in which to measure the performance of the Institution. This is also reflected through the influence of the intangible assets from *four* different perspectives: the *financial* aspect, that of the *client*, that of the *internal processes* and that of *development and traineeship*. This allows us to describe the status of the strategy in a balanced way (*hence the name*), and, as a result, determine the areas of influence between these perspectives, thus opening up the opportunity to align all company resources towards the pinpointed strategy.

According to the creators’ definition, “*The Balanced Scorecard is a management model that helps the institutions to transform their strategy into operational objectives, which, at the same time, act as a guide to obtain the aligned business and behavioral results for the personnel of the company*”²⁸.

The Guardia Civil has taken as reference a proven model, so when the methodology is completely integrated, the Institution will have at its disposal a strategy management system that allows the organization to focus its activities towards the fulfillment of the defined strategic objectives. The total progress of this process will allow for:

- The identification of strategic priorities of the institution and their translation to an operational level.
- Work towards the constant improvement of the objectives’ alignment in the Deputy Directorate for Operations and the Sub-Directorates for Personnel and Support within the framework of the strategic objectives of the Institution.
- The continuous and systematic tracking of the level of fulfillment of the objectives.
- The establishment of strategic lines of action and the definition of new initiatives and projects needed in order to carry them out.
- Organization-wide participation in the new strategic plan model with the specific correct level of engagement for each responsibility level.

28 KAPLAN, Robert S. and NORTON, David P. “Cuadro de Mando Integral”. Op. cit. Pp. 21 – 23.

- The adequate and effective communication of key messages about the strategic priorities of the organization to every level of the Institution, involving and motivating all the personnel involved in these processes.

It goes without saying that inconveniences will always arise in implementation processes of these kind, such as: initial incomprehension of the model, resistance to change on the part of influential sectors, the lack of commitment by different key players, errors in adapting the model, etc.

However, the leadership and promotion of this system from upper levels of management within the Institution, as well as the degree of commitment of the team in charge of the project's development, has allowed for the removal of the obstacles in the establishment of a management tool that enables the effective alignment of both individual and collective efforts in order to achieve the defined strategic objectives.

The introduction of the *Balanced Scorecard* methodology in the Guardia Civil has enabled the formalization of a "*Strategic Chain*" and the design of a Strategic Map, which gives a wider view of the objectives the institution is aiming towards. It also enables the pictorial *visualization* of the Institution's strategy in a group of *interrelated objectives*. These objectives are *measurable* due to *indicators of success*, and, when linked to various *goals, initiatives* and *specific action plans*, they allow for the coordination of the Units and members of the Institution²⁹. Among the many advantages enjoyed by the Institution as a result of the establishment of this System, the following merit distinction:

- The implementation of a system in the Institution Strategy Management which is based on the BSC shows the Guardia Civil to be a *flagship of modernity* compared with other organizations and institutions. This contributes towards boosting the guarantee of the services offered by the Institution.
- It serves as a *basis for coordinated strategic thinking* between the different departments of the Guardia Civil, as well as identifying certain key aspects which demand direct input from senior management.
- It creates a *common language* between the different organizational bodies of the Institution.
- It provides a clear vision of the *contribution of the Guardia Civil* to citizens, to the Government, to the rest of the administration and to other interested parties. This means that society now has a graphic tool at their disposal that they can use to clearly see that any performance or initiative carried out by the Institution has the ultimate aim of assisting and aiding them as efficiently and effectively as possible.
- It facilitates the *measurement of the achievements* completed in the implementation of the strategy, as a result of translating said achievements into specific objectives, indicators of success, and goals.
- It acts as a *communication tool* of the key elements that together form the professional strategy.

29 KAPLAN, Robert S. and NORTON, David P. "Mapas Estratégicos: Convirtiendo los activos intangibles en resultados tangibles". Op. cit. Pp. 427 – 444.

- It enables the division of the *presentation and tracking throughout different functioning areas* of every department through the creation of a specific Maps of Objectives, each with its own systems of indicators of success and goals.

At this moment in time, the remainder of the actions carried out as a result of the implementation of the Strategic Management Project within the Guardia Civil could be summed up in the following points:

- The creation and establishment of the “*Office of Strategy Management*”, understood as the body responsible for boosting the actions needed for the full development of this new management system, as well as being responsible for the coordination between the different units involved.
- The identification of a “*Facilitating Network*” at an organizational level within each of the bodies of the General Sub-Directorate (in the Technical Office from the Director General, in the Operational Sub-Directorate, and in the Support and Staff Sub-Directorate Operational Command), which, having previously had their own aims and motives, have now become the main partners of the Office of Strategy Management for the implementation of the monitoring process described above.
- The establishment of a process of information, presentation, evaluation and feedback for the indicators of success, as well as the definition of their respective goals, in order to faithfully track the strategic objectives defined in the First Level Map.
- The elaboration of “*Complementary Strategic Maps*” specifically related to goals which should be addressed by the Institution in order to fulfill the general missions entrusted to them by the Spanish Constitution and the law. The general lines of the National Security Policy are the starting point in every historical moment for the Institution.

In this manner, we can conclude that the Guardia Civil could be considered a “*Strategy Focused Organization, (SFO)*³⁰”, according to Kaplan and Norton’s definition, the main principles of which are summarized as the following:

- *Mobilization towards change through executive leadership.* Assuming the BSC methodology implies that this is not just a typical process of describing objectives and indicators of success, but also an indicator of a more profound process of change, a process which should be actively promoted from the higher ranks of the organization.
- *Translation of the Strategy into operational terms.* The BSC enables the visualization of the *raison d’être* of the Institution. It also helps to distinguish the key competences that assure their competitive advantage, which are the guidelines currently dictating the future actions of the organization, which goals the organization is going to reach, how they can measure the extent to which they have achieved these goals, and finally, which are the initiatives, plans and actions that need to be developed in order to reach the strategic objectives.
- *Alignment of the organization with the strategy.* This is an action that is now realized within the Institution through the elaboration of a series of maps which

30 KAPLAN, Robert S. and NORTON, David P. “Cómo utilizar el Cuadro de Mando Integral”. Op. cit. Pp. 14 – 25.

illustrate strategic spheres key to the fulfillment of its mission, using the responsibility shared between all the organs of the institution as a base.

- *The strategy constitutes a task which corresponds to and includes all members of the organization.* Starting with the idea that what is unknown cannot be executed, an appropriate climate first needs to be established, which promotes the strategic change. It is essential that each member of the organization understands the part they play in the overall strategy, as well as how their personal objectives relate to those of the Institution.
- *The transformation of the strategy into a continuous process.* It is necessary to establish a detailed monitoring system of the indicators of success and goals established in the maps, as well as a system for the feedback and correction processes based on the results obtained.

As a result of all that has been herein discussed, we can thus conclude that the development of this Strategic Management System will contribute towards the continuation of the Guardia Civil as a modern security body, capable of responding to the growing security demands of Spanish society in the twenty-first century.

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INSTITUTIONAL HIGH LEVEL PLANNING

THE GUARDIA CIVIL'S STRATEGIC PLAN 2013-2016

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ABSTRACT

The Spanish Guardia Civil makes use of a specific instrument in order to compile a list of the priorities of the Institution: namely, the Strategic Plan of the Guardia Civil 2013-2016. This tool is put together according to the methodology of the Balanced Scorecard and it takes advantage of the experience accumulated over the course of several years by the Guardia Civil through drafting documents of this nature.

This article describes the abilities of the Guardia Civil related to the strategic plan through the examination of one case in particular: that of the Strategic Plan. Representatives from all Guardia Civil management bodies contributed to the creation of this Plan, whereby the operative aims were able to be aligned with the human resources and materials available.

The aims gathered in this document are a reflection of those priorities established in regards to the security policy of the Spanish Government, which can be classified into ten large areas.

Key words: Guardia Civil, Strategic Plan, strategic aims, Balanced Scorecard

1. INTRODUCTION

As both a law enforcement institution and a security corps, the Guardia Civil is charged, under article 104.1 of the Spanish Constitution, with “protecting the free exercise of rights and liberties and to ensure civil security”. This slogan was developed due to the realization that the Guardia Civil carries out what could potentially be the widest range of functions performed by a police force in any other country¹. This factor should also include the great scope of territory with which the Guardia Civil is trusted, a territory which includes not only national soil², but which also takes place on an international scale where they play a supporting role in the foreign affairs of the Government.

1 These include, among others: civil security works and law enforcement activities; criminal investigation under the whole scope of criminal offenses including terrorism and organized crime; road safety police as well as administrative police in diverse fields such as environmental protection or the control of legislation related to weapons and explosives. Additionally, the Guardia Civil also performs the functions of the border police on all external borders which are not considered official border crossing points, as well as customs control at all border crossings.

2 The tasks of the Guardia Civil involve: civil security functions; keeping the peace; those tasks related to the judicial police throughout the national territory not assigned to the National Police Corps, which includes urban as well as rural areas. The Guardia Civil also undertakes constitutional mandate in territorial waters. Ultimately, it carries out these legally assigned tasks with a specific character throughout the national territory.

The complexity of managing an Institution which embodies all the aforementioned factors requires strategic management which allows for the designation of mid- and long-term goals and which also enables the efficient accomplishment of the mission with which the Guardia Civil is entrusted. This will produce the conditions in which the Institution of the Guardia Civil can act under the principle of doctrinal unity as a whole.

The Guardia Civil has several tools at its disposal that can be considered as being of a strategic nature. One of these is the Strategic Map, “in which you can see the Body’s global strategy, its strategic aims and the links and connections between them”³. It is a document aimed at the long-term in which the operating results are of secondary importance compared with a more structural approach in the context of procedures, human resources and materials. Another document integrated into the strategic management focus is the Services Charter. The Services Charter expresses the agreements made by the Institution concerning the quality of the provision of the services to the citizens. In addition, the electronic Services Charter is available online to all citizens through the electronic administration.

Social Corporative Responsibility⁴ also has its place in the strategic management. It incorporates rules and values taken on voluntarily by the organization which bring with them a greater emphasis on commitment to risk prevention, to transparency and ethics, and to efficient planning in terms of the environment and energy source management. The Institution also puts its faith in the fields of innovation and development, as well as in the permanent improvement of its relationship with society and other key players. As will be evident in the course of this article, a strategic approach it is not an unfamiliar one in terms of the managing and direction of the Guardia Civil.

Among all the tools used by the Guardia Civil that can be considered strategic, the Strategic Plan is the cornerstone of the high level corporative approach. This Plan has a fixed trajectory as a result of the elaboration of four successive documents, the focal points of which are centered on the operative activities of the Institution.

2. PRECEDENTS

In the ten years of the existence of this medium-term managing tool, the Institution has designed and implemented four Strategic Plans, being the last of which is currently still in force. The first two Plans lasted for two years each, with the consequent two having a proposed temporary validity of four years, with the option of adjusting its contents throughout the duration of the corresponding Terms in which they were in place.

2.1. THE SHORT-TERM OPERATIVE STRATEGIC PLAN 2005-2006

The first document of this organization, which was designed and set in motion in the heart of the Guardia Civil, was given the name of the Short-term Operative Strategic Plan. This Plan was valid over a two-year period (2005-2006) and its objective was: “to reach the highest level of civil security with efficacy and efficiency in all areas under the

3 <http://www.intranet.gc/export/sites/guardiaCivil/es/portalGuardia/interesProfesional/sistemaGestionEstrategica/index.html> (accessed November 2, 2014)

4 http://www.intranet.gc/export/sites/guardiaCivil/es/portalGuardia/interesProfesional/responsabilidad_social_corporativa/index.html (accessed November 2, 2014)

jurisdiction of the Guardia Civil and, simultaneously, to decisively and actively participate in high-level policymaking as well as in the combined and coordinated activities of both the Forces responsible for law enforcement and the Bodies in charge of State Security”.

This Plan was created based on the contents of the speech made by the State Secretary for Security when he appeared in front of the Home Affairs Commission of the Spanish Congress of Deputies on the 15th September, 2004 in order to present the general outlines for the Spanish Government Security Policy during the Term 2004-2008⁵.

This aforementioned management tool was approved by the Executive Committee for the Unified Command of the Forces and Bodies of State Security⁶ (CEMU), in its meeting of March 3rd 2005 and it was structured in the five following functional areas of operation:

- The fight against terrorism. The ultimate objective was established in increasing the overall ability of the Institution to confront the terrorist threat, combating it in a comprehensive manner with all the mechanisms permitted by the Rule of Law, adopting specific measures regarding resources both human and material.
- The modernization of the Security System. The ultimate objective of this endeavor was to achieve the maximum efficiency of each of the different Units of the Corps. In order to do so, several procedures directed towards a more balanced distribution of territory were established, allowing for the development of activities to facilitate the Institution’s presence on an international stage through cooperation with other international policing bodies, as well as in achieving a more fluent interinstitutional collaboration with other key players on this field.
- The fight against criminality. This objective was approached on two fronts: on the one side by preventive measures, optimizing resources and consolidating those effective measures which were already in place; and on the other, by carrying out investigative work, through the enhancement (or creation) of units directed towards not only operative activity but also towards analysis in the criminal investigation field, especially that regarding the fight against organized crime and networks of illegal immigration.
- The protection of at-risk groups and, in particular, of victims of gender violence. The central concepts of this aspect were twofold. On one hand, there was a focus on the strengthening of appropriate capacities for operation that would allow the Institution to give a specialized response through the consolidation and extension of a specific network of attention, and, on the other hand, a focus on encouraging corporate participation in collaboration with other institutions and organizations which allow for the increase in availability of prevention and protection measures for these victims.

5 Appearance of the State Secretary for Security, Antonio Camacho Vizcaíno, in which the six central, strategic ideas which form the basis of the aforementioned policy were identified and in which he also included the general outline of “Transparency and civil participation” on top of those aspects related to the Short-Term Strategic Plan.

6 Established by Order INT/1251/2004, of 7 May, through which the Executive Committee for the Unified Command of the Forces and Bodies of the State Security were created.

- The element of control and cooperation with the private security sector. The aim in this was to complement the state's security strategy with the creation of spaces of agreed incentivisation between the Guardia Civil and the private security field. Likewise, the objective was to strengthen the supervision of those aspects of private security under the scope of the Guardia Civil and to participate in the creation of a code of ethics of professional action in the subject.

The Strategic Plan mainly expanded on aspects of an operative nature and, beyond those objectives directly derived from the governmental mandate, it contained others identified by the Institution itself which were considered appropriate additions towards the achievement of the specified purpose.

2.2. THE STRATEGIC PLAN OF THE POLICE AND THE GUARDIA CIVIL 2007-2008

After having validated the document related to the years 2005 and 2006, the Strategic Plan of the Police and the Guardia Civil 2007-2008 was drafted (the Specific Corporative Schematic of the Guardia Civil), a document in which the essential aims of the Guardia Civil and the National Police Corps were designed, defined, elaborated and proposed in a sole document for the aforementioned biennium. This structure was a consequence of the creation of a new and unique General Directorate of the Police and the Guardia Civil, by combining both Senior Management Offices of the Guardia Civil and the Police⁷.

The content of this schematic was a direct continuation of its antecessor, and in its elaboration it maintained the same structure as that already established in the definition of 'security policy'. In this way, six functional areas of common operations were identified for the State Security Forces and Bodies; the first four of which could be classified as sectorials, dealing with specific fields of action within the security policy as a whole, whereas both remaining functional areas affected whole area of operations in regards to the security policy and therefore clearly had a much more transversal character.

- The fight against terrorism, giving an element of continuity to one of the concepts present in the short-term Strategic Plan 2005-2006.
- The fight against criminality, another aspect which also created continuity between the first Strategic Plan and the second.
- The treatment of irregular immigration, with a specific dedication towards an emerging phenomenon.
- The maintenance of civil security, which encompasses all those activities related to non-organized crime, those at greater risk, or relationships with the private security sector.
- The modernization of the security system as a whole, which constituted the first of the aforementioned transversal areas.
- Transparency and participation on the part of the system itself, reaching the hig-

⁷ Royal Decree 991/2006, 8 September, as a result of which the Basic organic structure of the Ministry of Interior was developed.

hest levels in these fields; contributing to the enhancement of those levels which define the sixth and last area of the Strategic Plan.

This Plan established common objectives to be reached by both Security Forces and Corps in an attempt to try to improve arranged mechanisms of action, even though each functional area also simultaneously contained specific corporative objectives from each of the two organizations in an individual manner.

2.3. THE STRATEGIC PLAN OF THE SENIOR MANAGEMENT OFFICES OF THE POLICE AND THE GUARDIA CIVIL 2009–2012

Once Strategic Plan 2007-2008 was no longer in effect, the elaboration of the “Strategic Plan of the Senior Management Offices of the Police and the Guardia Civil 2009-2012” was carried out in order to coincide with the new term. Its objective was to design and develop diverse strategies in order to respond to the growing demands for security by society, *“ensuring the management of public resources based on principles of efficiency and quality”*.

A defining characteristic of this Plan is the fact that it is related to the Senior Management Office itself and not to the two separate bodies of which it is composed, in agreement with the decision made in regards to the creation of a common Senior Management Office for both State Security Forces and Law Enforcement Corps in 2006. The elaboration of said Plan expanded on the adoption of a series of measures intended to ensure a greater operative coordination between the two law enforcing bodies.

Beyond the content of the Plan itself and the security priorities laid out by the Government, the document as a whole was dominated by three guidelines:

Firstly, the modernization of the system of security. Broadly considered, this modernization should not be focused exclusively on the acquisition of modern equipment, new technologies or on improving infrastructure, but rather it should deal with the adoption of new measures towards the modification of procedures, the specialization and the creation of human resources, the application and exploitation of information technologies, and on the improvement of information and communication networks – as much within each respective Corps as between the two.

The second guideline describes security centred on the people. This is based on the concept of “human security”⁸, a concept supported by various experts, among whom we can mention María Kandor⁹, and which can be defined as the result of six interdependent principles:

- The primacy of Human Rights as an essential principle and the acknowledgment that that is the main challenge.
- The legitimacy of the supreme political authority which should achieve the confidence of the citizens as a result of their actions regarding the Law, public order and the respect of people’s dignity.

8 Defined in the United Nations Program for Human Development of 1994.

9 Director of the Center for the Study of Global Governance at the London School of Economics and Political Sciences. (1943-2013).

- Their availability to the general population, with special sensitivity to the more vulnerable groups of society, such as women and young people.
- A multidisciplinary approach in its treatment.
- A regional approach to any crisis, which avoids a view of them which is only partial.
- The existence of legitimate, clear and transparent mandates which belong to a coherent strategy linking political objectives with the actions necessary to reach them.

In third and final place, these guidelines prescribe prevention as a basic criterium for action, thus relocating the emphasis of the grounds for many public security policies from a purely reactionary stance to one which emphasizes the prevention of dangerous situations and, simultaneously, strengthening citizen participation in the design of policies of this kind.

The strategic outlines of the governmental security policy for the 9th Term were defined in the corresponding appearances of the Minister of the Interior before the Interior Commissions, the Spanish Congress of Deputies and the Senate¹⁰. This constituted a basis on which to create the substantial content of the aforementioned Plan, structured in six large areas of functionality¹¹. They adopted a similar naming system as that used by the Spanish Interior Minister in his appearances before the Congress of Deputies:

- *Terrorism* divided into two aspects, interior and international. The interior terrorism aspect was primarily focused on the fight against Spanish terrorist group ETA, whereby institutional reinforcement was the strategy proposed in order to weaken the terrorist group until its definitive disappearance. In order to confront the phenomenon of jihadist terrorism, various lines of action were put forward, governed largely by the general principles of prevention, prosecution, protection and preparation.
- *Organized crime* which, together with terrorism, is considered the most perceptible threat to the interior security of the whole European Union. For its eradication, a strategy is required which makes use of the specializations of the operative units, the improvements on intelligence capacities, the provision of accurate technical knowledge, as well as the cooperation of the police, the justice system and customs at a national and international level.
- *Irregular immigration*, based largely on more efficient border control in collaboration with the European Union and the home countries, as well as in the transit of migratory flows.

10 Appearances before the Interior Commission of the Congress of Deputies, 27 May 2008, and before the Senate Interior Commission, 4 September, 2008, in which the Interior Minister, Alfredo Pérez Rubalcaba, presented the general outlines of his Department's policy.

11 Natural or technological disasters were also prioritized in the definition of the Security Policy, as it was necessary to give comprehensive responses to the harm produced by natural or technologic disasters, due to the fact that the State Security Forces and Bodies could play an important role in such an occurrence. Nevertheless, it was not considered appropriate to raise the State Security Forces' category status to "strategic" in the specific planning field relating to natural or technologic disasters, as it was considered that the prominence of that kind of cases corresponded to Civil Protection agencies and institutions, at both State and autonomous level.

- *Public insecurity*, considered the threat which is the possibly the greatest source of anxiety in the day-to-day lives of Spanish citizens. To improve public security levels, it is considered necessary to increase quantitative, qualitative, formative and coordinating standards.
- *Lack of Road Safety* is one of the most important threats in Spanish peoples' everyday lives. In order to deal with this issue and to reduce the number of victims, the objectives included: a more comprehensive public education on issues related to road safety, progress to be made in the administrative and penal reforms field, and the continuation of the surveillance and prevention work put in place by the Guardia Civil due to its competent role in the matter.
- *Modernization of the security system*, an outline which affects the security policy as a whole and, therefore, which could be classified as a transversal point to all remaining areas that can be defined as completely operative.

From this distribution and for each of those structures, some common general objectives were established for the State Security Forces and Corps, and from those common objectives, each of the Corps developed their own detailed specific objectives according to their own strategic management systems¹².

In turn, these particular objectives were completed with the corresponding monitoring and evaluation procedures expected in the planning documents of each of the organizations.

In brief, the Guardia Civil - within the Strategic Plan of the Senior Management Office of the Police and of the Guardia Civil – were able to determine a specific direction of work for the Institution, creating a basis for future strategic plans. In this sense, the Institution could rely on its own opposing management system when the Plan was no longer valid, a system which had proved its practical value in the determination of strategic targets and their evaluation.

3. THE STRATEGIC PLAN OF THE GUARDIA CIVIL 2013-2016

The Strategic Plan of the Guardia Civil 2013-2016 was a natural successor of the aforementioned previous planning processes, created not only to build on previous experience accumulated, but also under the premise of transferring governmental security policy priorities to the corporative field.

Therefore, the inspirational elements which constitute the initial directive of the proposal are mainly based on the appearances of the Minister of the Interior before the Commission of the Interior of the Congress of Deputies on 31 January, and before the Commission of the Senate Interior on 20 of March in 2012, where the strategic outlines of the Government Security Policy were defined for the 10th Term.

The sentence that gathers the spirit of these appearances, in the words of the Department Director, is “*striving for the constant improvement of safety of Spain*”, in

12 This was called the “Annual Operative Program” in the National Police Corps and “Balanced Scorecard” in the Guardia Civil.

agreement with the constitutional mandate established by Article 104.1 of the Spanish Constitution.

In the aforementioned public appearances, ten strategic main concepts were identified, seven of which corresponded to threats or hazardous situations of a sectorial nature, while the other three presented a more transversal nature due to their effects on all fields of security activity.

In accordance with the priorities established by the Minister of Interior, the Strategic Plan of the Guardia Civil was elaborated, this time to be valid over a four-year period: 2013-2016. Its approval on 26 November 2012 in the heart of the Executive Commission for Coordination, an executive strategic body of coordination within the State Security Secretariat, serves to demonstrate the coherence between the corporative objectives as proposed in the Plan with governmental priorities in regards to security policy.

Subsequently, Director General of the Guardia Civil, Arsenio Fernández de Mesa Díaz del Río, presented the content of the Strategic Plan in his appearance before the Commission of the Interior of the Deputies of Congress on December 12, 2012. The aim of this was to publicize not only the planned lines of action for the Institution, but also those plans designed for the Corps' Senior Management Office. The plans outlined in his speech followed the 10-concept structure as designed by the Head of Department.

- The first of these large concepts constitutes the development of a strategy against terrorism. The approach to the fight against terrorism needs to be comprehensive as the threats are twofold: terrorism on a national scale and terrorism on an international scale. In this way, the necessity of continuing to strengthen collaboration with the police is reflected, as much in internally as externally, especially in this case, with those countries more directly affected by such fanatic violence and for those surrounding countries experiencing a similar situation to that in Spain. In addition, the need for the provision of necessary material goods and staff which are highly specialized in this criminal typologies, was also highlighted.

Likewise, and within the scope of those actions directed towards the prevention of this type of attack, the Plan also takes port security and marine transport, among others, into consideration within the framework of the specific competences allocated to the Guardia Civil by Spanish Act *Ley Orgánica*.

- Organized crime is another great threat to civil security and, therefore, the measures designed to fight it define the second central concept in which the document is organized. Organized crime presents the following characteristics: it is a complex organization, has a transnational character, has developed into more serious forms of criminality and uses legal operations as a front, behind which criminal actions are hidden.

As a result of these characteristics, coordination is necessary at a national level, as well as international collaboration, a systemic approach and multidisciplinary action in order to combat this scourge.

The criminal behaviors that these measures are directed against are mainly drug trafficking, money laundering (in many cases linked with drug trafficking), cyber crime, corruption of public administrations and fraud, as well as economic investigation.

- The third strategic point concerns the improvement of civil security, as well as the fight against persisting offending and re-offending, the latter being the main focus of the minister's appearance. This section comprises the very essence of the work carried out by the Corps, as it encompasses all actions aimed at guaranteeing civil security, as well as the guaranteeing the exercising of rights and freedoms for all citizens through the fight against non-organized criminality.

As stated by the Director General in his public appearance, one of the central elements regarding institutional activity in this field, as in many others, is its permanent presence throughout the national territory. That is to say: deployment of officers throughout Spain, as a tool for the increased efficiency of preventing criminal activity. By the same token, the elaboration of specific plans directed specifically towards fighting crime is another tool which allows for the improvement of corporate efficiency while acting in this field, as is the case with the plan against thefts in agricultural and cattle exploitations or with the plan of the police in response to theft of copper cabling.

- The protection of the more vulnerable groups within society constitutes the fourth central point in which the Plan is structured. These are the groups whose security should be treated in a more sensitive manner because of the fragility or specific conditions such individuals present. These groups are composed of very different collectives, such as victims of gender violence, the elderly, minors - with a distinction made between the treatment of children and that of young people - , as well as human trafficking victims.

One of the greater efforts made as part of those actions carried out in regards to this category is preventive action developed specifically for situations in which people belonging to these collectives can be victims of criminal activity, whereby each situation is treated differently. It is in this way that we gather information upon which we can act in regards to the elderly, surveillance in schools, leisure zones and the Internet, as well as the adoption of protection measures for victims of gender violence and human trafficking.

The development of a specific police treatment protocol for those at risk is being considered as a complement to the planned preventive works, where people of the above-elaborated group are considered to be being victimized. The general concept of this development would involve adopting special measures of protection, such as treatment by specialist officers or continuous individual assistance.

- The fifth central concept of the Strategic Plan concerns the efficient management of irregular immigration. The great complexity of this phenomenon demands the collaboration of all bodies whose field of activity extends to this topic.

This group of plans deals with the complete control and surveillance of all the individual borders of which the single, exterior border of the European Union is comprised. The Guardia Civil aims to introduce measures based on three actions, constituting an international role model in regards to border surveillance. On one hand, the adoption of an advanced surveillance system in cooperation with the countries which are the source of this irregular migration flow, countries in which the Guardia Civil will carry out joint services with local policing bodies. On the other hand, the implementation of the Exterior Surveillance Integrated

System should also allow for the prompt detection of boats hoping to enter Spain through unauthorized passing points, as well as for the protection of the lives of people who cross the sea in subhuman conditions. These actions are complemented with those referring to the structure of the command and control, which shape the Regional Centers of Maritime Surveillance of Coasts and Borders of the Atlantic Ocean, the Gibraltar Strait, the Mediterranean Sea, and the Bay of Biscay, together with the Coordination Center for the Maritime Surveillance of Coasts and Borders, which the European Agency for the coordination of borders (Frontex) has appointed Spanish national point of contact in the borders surveillance network, Eurosur.

- The sixth general concept of the security policy is aimed at the improvement of road safety. The Guardia Civil Traffic Department occupies a privileged place in the development of campaigns designed by the National Traffic Department with the principal objective of reducing the accidents on main communication routes through a focus on preventative action.

The objectives defined in the Strategic Plan are aligned with those priorities defined in the Traffic Safety Strategy 2012-2020 from the National Traffic Department. The Strategic Plan also encompasses other units of the Guardia Civil which do not belong to the Traffic Department, mainly those from civil security, for the important role they play in providing surveillance on secondary communication routes.

The main impetus behind the focus on road safety is to maintain the existing dynamic, instituted in Spain over the past few years, of reducing the number of road accidents and deaths, as well as to reach the final objective of “0 fatalities” as a result of traffic accidents in those roads and communication routes under the responsibility of the Guardia Civil.

- The seventh strategic point concerns the defense of our national culture. The Spanish Historical Heritage is characterized by its importance, its richness and its dispersion across the national territory. It is precisely because of this geographical dispersion across isolated zones which are often located far away from important population centers, that the Guardia Civil have become a key figure in the protection of our national heritage as a Corps which exercises its security responsibilities in more than 80% of the national territory.

The objectives established by the Institution in this field revolve around three general elements: investigative performance, collaboration with other organizations, both national and international, and preventative work, as demonstrated in the Plan for the defense of the Spanish historical heritage.

Additionally, some corporate aims in regards to tourism feature within this point, as well as in other aspects of the previously described action outlines, especially those aims regarding Spanish cultural heritage, where attention to the tourist and an increased presence in those areas more heavily frequented by tourists is of high importance.

- The streamlining of available means and the efficient use of resources constitute the eighth point of the Plan; the first one which transversally affects the development of

the aforementioned institutional strategy. Beyond the global socioeconomic scene that has particularly affected Europe and our country, the Guardia Civil assumes the responsibility of managing public resources assigned to the Institution by the Government in order to serve society. Therefore, in this area we define those strategic objectives regarding the optimization of human and material resources with the aim of reaching the highest level of efficiency in the execution of services, in such a way that the security of citizens as a whole is guaranteed.

This optimization goes beyond the efficient use of Guardia Civil resources among ourselves; it extends even further in order to make the capacities of the Institution available to other administrations' service. In this way, we avoid the repetition of public resources for the development of functions already being performed by the Corps, such as the surveillance and protection of the environment and natural resources, or the carrying out of specific tasks already performed on a national level, as well as adding support and collaboration to missions carried out by our Armed Forces on a international scale.

- A second transversal point for the Institution is comprised of the modernization of units, services and procedures. This modernization is dependent on the existing socioeconomic context at the moment of creating the Plan, and includes with it the handling of various aspects of the umbrella term 'modernization', some of which include: commitment to the use of new technologies, prioritizing the improvement of existing facilities and the creation of those that required, as well as the updating of existing service procedures.

Among the latter, it is important to emphasize those measures which affect the Director's chain of command and that, due to these measures, guarantee a continuation in the command process in case of the absence of the director, because of their importance to the institution. The objectives established in accordance with these measures seek to maintain the structure of the Institution nationwide as a State-unifying element, combining the necessary work effort required by corporate deployment with the conciliation with the private life of the professionals who hold positions of medium-level responsibility within the Institution.

Furthermore, and within this ninth point, one of the objectives focuses on maintaining the work carried out in the fields of research, development and innovation in order to support the national security industry, where the Guardia Civil acts as a partner in many projects. Through their partnership with the Guardia Civil, these projects receive experience and sensitivity in the detection of new needs that appear in this security field as a result of societal evolution, new forms of criminality and as new functions assigned to the organization.

On the other hand – and staying within the concept of modernizing the service, and particularly the procedures, provided – the Strategic Plan identifies a series of objectives directly related to the improvement of the training of *guardias civiles* (Guardia Civil officers), enabling them to better be able to provide a valuable service to society. Among these objectives, it is important to emphasize the measures related to the valuable e-learning platform which enables the transfer of professional knowledge to *guardias civiles*, who could be stationed anywhere, through the corporate intranet.

Finally, within this strategic point and intimately related to the tenth objective, we find those objectives which seek to bring the Guardia Civil even closer to society, in this case through the use of new technologies. One of the predominant core ideas of the activities carried out by all departments of the Institution is that of being a security body in proximity to the citizens it serves. The bloom of new technologies and its mass use by society offers the Institution another method in which to do this by making use of the chances that the digital era offers. In order to achieve this, objectives have been established regarding the increased amount of paperwork available to citizens on the corporate digital platform in order to facilitate electronic administration.

- The tenth and final objective seeks to aid the citizen in navigating the services provided by the Institution through several objectives related to the improvement of transparency, civic participation and access to information. It is a strategic point of a clearly transversal nature, the contents of which complement the previous objective by dealing with the friendly treatment with the citizen from a traditional point of view, rather than focusing on the use of new technologies, but rather on a direct, personal contact in which the raising of issues is a valued part of the process, such as meetings with those responsible for various groups of society to hear proposals regarding specific plans for the prevention of crime.

Ultimately, this objective rests on the basis that objectives are taken into account in coherence with the current understanding of the relationship between the citizens and the public administrations. In this, the citizens are the key element as they are the ones who demand and receive the services provided by the aforementioned administrations. It is this fact, therefore, which drives us to foster the best possible relationship between society and the Guardia Civil.

4. CONFIGURATION AND REPRESENTATIVE ASPECTS OF THE STRATEGIC PLAN

As has been previously mentioned, the Strategic Plan of the Guardia Civil 2013-2016 constitutes the baseline document that gathers together all the primary objectives of the Institution, seeking to reach the highest levels of civil security efficiency within the field of its own scope, in a temporary context spanning a four-year term.

In a methodological way, and drawing on the experience accumulated from previous strategic procedures developed within the Corps, the Plan has been created through an exhaustive application of the Balanced Scorecard methodology¹³, specifically adapted to take not only the social climate into consideration, but also those characteristics of a public institution charged with providing a security service to citizens, as well as its idiosyncrasies and the great variety of activities it carries out within the broad spectrum of 'public security'. In this way, it gave continuity to the methodology already in place during the creation of its immediate predecessor, the Strategic Plan of the General Management of the Police and the Guardia Civil 2009-2012, within the framework of the Guardia Civil.

Among the characteristics presented by this tool, some are common to other documents of similar level while others are more specific, but those generally of note are the following:

13 A methodological tool created by Harvard University professors Robert S. KAPLAN y David P. NORTON.

Firstly, that its content is in line with those priorities established at a higher management level, which involves a *sine qua non* requirement to determine the validity and efficacy of any document of this characteristic; as the lack of consistency between those directives issued by the superior authorities and this tool inevitably leads to it becoming useless. In this case, the general points of the security policy for the term do support the directives, as demonstrated by the Minister of the Interior in his appearances before the Interior Commission of both parliamentary Chambers.

As has previously been mentioned, this Plan is structured in 10 large, defined areas which also constitute a variable number of objectives in themselves, according to factors such as the complexity of the area as a whole, the number of actions that can be developed, as well as other elements.

According to each selected strategic objective, an appropriate number of indicators can be identified which can be used as a reference with which to check the extent to which these objectives have been met. In this regard, it should be emphasized that, conceptually, it is very difficult to identify any single indicator which, by itself, allows for the complete measurement of the extent to which an objective has been met, therefore, it is more common to have many indicators associated with each single objective.

This fact has to be combined with a measure of moderation in regards to the number of indicators. In order to allow for a proper analysis of the objectives, the selection of a choice number of indicators is less likely to inundate the organization's observation, examination and study of the results with excess data.

Within the established objectives as a whole, those of an operative nature predominate. However, they also coexist with their other, more theoretical, counterparts which help to facilitate their attainment, affecting the spheres of internal procedures, training of staff, the specializations of staff, necessary material resources etc.

This document, as with any other document of this nature which aims for the efficient and valid management of the organization, has a dynamic character and involves a monitoring, evaluation and control process in order to assess the level to which results have been achieved. This enables us, either regularly or on demand, to determine the results reached in a given situation, as well as to detect any failure to reach results, thus expediting the adoption of measures for its correction it.

It should be pointed out that this monitoring is produced for the activity of the Institution as a whole, that is to say, without separating the results according to different units, as this is not the objective of its development. In this way, it is possible to analyze the global results, allowing for the adoption of appropriate measures to either maintain or improve the levels reached.

With this same intention of creating a document that is dynamic, a compulsory revision is built into the middle of its term, allowing for the introduction of new objectives or indicators of success in accordance with any change of circumstances, as well as allowing for their removal as a result of no longer being considered valid.

Another added value of this document is the comprehensive involvement of various bodies at a sub-directorate level in its creation. These bodies are tasked with not only the purely operative aspects related to its elaboration, but also the management of human and material resources, the Operative Associate Directorate, the Operations

Command, the Personnel Sub-Directorate, and the General Support Sub-Directorate respectively, as well as the Technical Cabinet, in the development of functions under their jurisdiction.

Accordingly, specialist units also participated in the creation of this Plan. The fact that this was carried out through their own upper management levels meant that they occupied a management level equivalent to that of the Institution, allowing for the combination of the Institution's more general vision with the specialized vision typical of the aforementioned specialized units.

This participation in the Plan's creation also extended to the assessment and evaluation procedures mentioned above, as a result of the clear identification of those units responsible for the execution and measurement of the various indicators of success and, therefore, of the objectives formulated in order to achieve them.

On the other hand, it has to be emphasized that the process of elaborating and identifying the services, initiatives and activities to be included in the Strategic Plan continually took the socioeconomic scene in which the plan would be subsequently developed into account. The fragility of this scene was particularly relevant at the time of designing this Plan, as this took place during the first quarter of 2012. By 'socioeconomic scene' we of course refer to the complex economic and social situation that has recently affected both Spain and its neighbouring countries, as well as the administration, the public services and particularly the citizens. These factors presented an exercise in rationality, combining the caution characteristic to these unpredictable, delicate situations with a logical, healthy ambition that is necessary to prevail in any individual or collective improvement project.

5. FINAL CONSIDERATIONS

In conclusion to all which has been previously mentioned regarding the Strategic Plan of the Guardia Civil 2013–2016, we can say that if we were to summarize it in a sole idea, we should resort to the speech given by the Corps' Director General¹⁴ during his appearance before the Interior Commission of the Congress of Deputies, and specifically his words: "to do more with less". Within this phrase is included the aim of continuing to make progress in forging a modern Institution that, at the same time, preserves its traditional values.

The Strategic Plan of the Guardia Civil 2013–2016 is arranged as a strategic planning document, the creation of which involved all upper levels of Institutional management. This confers a complete, comprehensive approach to the design of the initiatives, aims and action plans of the institutional Units.

Almost one hundred objectives deserving of the title 'strategic' were identified as part of the exhaustive analyzation process carried out in order to create the Plan. In turn, and within the term covered by the legislation, this has allowed for the orientation of Guardia Civil Corps activities towards the provision of appropriate security levels. This level of attention towards the citizen forms part of the fundamental premise of the Guardia Civil, i.e. the provision of more efficient, personal and quality services.

14 Appearance of the Director General of the Guardia Civil, Arsenio Fernández de Mesa y Díaz del Río, on 12 December 2012, to report on the general action plan outlines as well as his personal aims as the head of the General Directorate of the Body.

This document allows for an in-depth reflection on the most important objectives of the Corps, as well as for the establishment of priorities regarding the allocation of available resources to the above-mentioned objectives; a process that is carried out during its creation and upon the regular re-evaluations it undergoes.

In addition to the above, it should be recognized that this is also a tool that facilitates the study of future initiatives which allow for progress in the institutional approach to new situations, and how they progress in both the medium and long term.

Therefore, for the appropriate utilization of this tool, it is vital to treat the Strategic Plan as a living document in a dual sense. On one hand, this refers to the execution of regular reviews which allow for the understanding of the extent to which the established objectives are being satisfied. On the other, equally important, hand, this also refers to the importance of being in a position to adapt the initial content to the emergent changes and to allow the redefinition of the objectives when the circumstances demand it.

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KNOWLEDGE MANAGEMENT AND CULTURE OF SECURITY

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To know what you know and what you do not know, that is true knowledge.

Confucius

ABSTRACT

In times like these, of dizzying change, of enormous complexity and interrelation between originally separate phenomena, and of high levels of uncertainty, knowledge and its management within all organizational processes has become a duty of increased importance. It is an obligation which enables said organizations to make progress in how they anticipate and construct the future, as well as how they adapt to difficult scenarios, identify new risks, threats, and opportunities.

To this end, this article highlights those main sources of knowledge in terms of security and summarizes the strategic objective of knowledge. A strategic design involves having knowledge, intelligence and a clear vision for the future. Regarding security, new models of decision-making, based on knowledge management and provision, are viable options in situations of uncertainty.

Finally, knowledge has a clear purpose: its dissemination and utilization. The Culture of Homeland Security is the dissemination of knowledge on security matters to the various agents who participate in the system, contributing to the necessary creation of a Culture of National Security.

Key words: Knowledge, security, intelligence, strategy, decision-making

1. KNOWLEDGE FOR SECURITY

Wise is not the man who knows where the treasure is buried, but the one who works in order to get it out.

Francisco de Quevedo

According to Davenport and Prusak (2000), news is turned into knowledge through processes of comparison, as well as the collection of consequences, connections and conversations. Therefore, knowledge can be defined as the complete, informed understanding of something. It is a mixture of experience, values, contextual information and expert internationalization which creates a frame for assessing and including new experiences and information. It can be considered both as a process and as a product, and it is always action-oriented.

Knowledge is an intermediary. It is not an end in itself, but it must meet certain objectives. In the case of police organizations, knowledge is a means through which to better seek ways of assuring the free exercise of rights and freedoms as well as public safety, as is written in Article 104 of the Spanish Constitution.

In any case, the concept of security is always evolving and this brings with it the obligation to adapt working processes, methodologies and techniques. Security is a desire which connects with the basic human instincts of preserving life, ensuring pleasure and welfare, and avoiding pain or any other kind of suffering, together with emotions that can anticipate them or which go hand in hand with them such as anxiety, fear or dread (Jaime, de la Corte, Blanco, 2014). Various terms have been coined through history and used in the last years in order to define this collective instinct, such as: public safety, collective security, internal security, social security or human security. Nowadays, in the aftermath of the 9/11 attacks, the key concept which guides national strategic models of security in order to manage risk and threats is “national security”. However, this concept is not new. On July 26th 1947, US president Harry S. Truman signed the first National Security Act. In 1948, diplomat George Kennan defined national security as “the continued ability of the country to pursue the development of its internal life without serious interference, or threat of interference, from foreign powers” (Laborie, 2011). Jaime, de la Corte and Blanco (2014) define National Security as the “ideal situation that arises thanks to the efficient and joint action of the State and other agents, where citizens’ freedom and welfare, territorial defense, and integrity of its constitutional principles and values, together with international security, will be completely protected and guaranteed.”

Threats (circumstances or agents which pose a risk to security or stability) and risks (the probability of those threats materializing and causing damage) are changing every day, and new phenomena, groups and interrelations are always appearing. Last year alone, just to give some examples, we have witnessed the rising tension in Ukraine or the emergence of new insurgent and terrorist groups as Daesh. These have been the focus of attention of the security agenda of many different States and International Organizations. At present, many different weak signals and early warnings are emerging warning people about new centers of risk and future threats.

On this basis, knowledge maps, sources and expert guides must reflect this change correctly in order to reconcile knowledge availability and new, emerging needs, as well as to also be able to support organizational decision-making (Blanco, 2010). Let us remind ourselves that the Knowledge Map is an interactive system open for dialog, which is defined, organized and built upon the intuitive, structured and procedural behaviors used to explore and solve problems, thus facilitating the decision-making processes.

When we refer to knowledge in the field of security, we should always take the *purposes* for obtaining or managing that knowledge into account. The same applies to intelligence, a form of knowledge with specific features. Treverton (2009) makes an important categorization of the needs that intelligence tries to address and the way in which those needs are satisfied. As an example, he points out the need of having tactical, valid information, alerts about the advancement of warning indicators, pattern recognition, and categorization of emerging issues, the implications of public policies, or the establishment of future scenarios. Considering the security studies that are based on a temporal structure, the Analysis and Outlook Center of the Guardia Civil sets the objectives that can be achieved through techniques and methodologies to know the past, the present and the future:

- Regarding the past, the chief aims were to learn about potential threats, establish patterns, detect trends and learn from them. So as to do this, we can use the lessons

of the past, as well as case studies, bibliography revision, good practice, as well as the bibliographies or repositories of those agents involved in the security system.

- When it comes to the present, the chief aims nowadays are to know the different variables which define a threat, the agents who contribute to it, the impacts of different variables, the management of the unknown (detecting existing needs), security protection and guarantee, alert generation and the evaluation of policies and decisions. Among the different methodologies that can be used for these purposes, we point out PESTEL analysis, SWOT analysis, morphological analysis, structural analysis, cross-impact analysis, causal analysis, MICMAC analysis, environmental scanning, indicators, MACTOR creativity techniques, game theory, analysis of texts and announcements, interviews, group or individual profiles, red hat analysis, what-if analysis, social network analysis, deception check, information evaluation, timelines, concept maps, weak signals, early warnings, critical judgments, cost/benefit analysis, etc.
- With regards to the future, the aim is to predict, imagine and to shape the future we desire. As basic techniques we have: Big Data, trend analysis, econometrics, complex algorithms, expert systems, artificial intelligence, Godet's toolbox, visioning, futures Wheel, Delphi, analysis of competing hypotheses, back casting, what-if analysis, scenarios, gaming, simulation or modeling.

The aim with this model is to attain a comprehensive understanding, allowing us to build what we call "The Big Picture", a complete, structured representation of the phenomenon in question. Blaise Pascal, a French scientist and philosopher, said that it is far better to know something about everything than to know everything about one thing. While we do not consider this to be completely true, it does lead us to reflect on the role that specialists and generalists play in the field of knowledge, a debate that should not be simplified merely by opting for one or the other. Expert specialized knowledge is needed just as much as experts are needed to integrate all that fractionated knowledge into our plans for action.

In short, it is necessary to create new models for the study of security, taking into account that, in many cases, there is no need to develop new theories, but merely to apply existing ones and adapt them to the object of study or to the characteristics of our organizations. The creation of metamodels is one of the ways of integrating this dispersed knowledge. While the so-called "classical" studies in security are still valid, we should also take care not to undervalue so-called "critical security studies". Traditional, more pragmatic studies (Booth, 1991, 2005), from which neorealism and neoliberalism have emerged, are based more on the idea of the Nation-State and of the study of security agencies from a perspective which categorizes other agencies as either allies or enemies. On the other hand, new critical security studies are suggesting a change of focus, centered more on the individual and on society. This new vision requires a change in investigation techniques and methodologies. Buzan's work (1983) provided a new perspective as he added political, economic, social and ecological elements to the concept of security and he stressed the idea of the central role of the individual as a basic unit of security. Krause and Williams (1996) state that our knowledge about topics, structures and practices related to international relations and security are subjective, as they are based on conceptual constructions very different to those made by observers and agents in today's world. Following this line of thought, various studies about human

security, feminism in security, constructivism and post-structuralism have been carried out. In this respect, contributions from the Copenhagen and Wales Schools of thought are particularly noteworthy.

Throughout this article, we will mention new approximations necessary for the study and generation of knowledge in security, such as “futures studies” or prospective, as well as new models of decision-making in the face of uncertainty and design of public policies. Ultimately, this means the creation of a theory of knowledge for security, an epistemology that, from a theoretical framework, also allows for its practical implementation.

2. THE END OF THE STATE MONOPOLY ON SECURITY

Wise people look for wisdom, fools think they already found it.

Napoleon I

Without a doubt, we can say that the state monopoly on security has ended. Security is a shared responsibility of many different agents. This assertion, in any case, is compatible with the clear governance of security as carried out by the State. It remains a competence of public authorities, as clearly stated in the Spanish Constitution.

If there are few doubts about this, there are even fewer about the inexistence of a monopoly on knowledge about security issues. Our societies, characterized by extreme specialization and the creation of static knowledge behaviors in enterprises, organizations or universities, are faced with the risk of ending up with the foolishness warned against by Napoleon above, the foolishness of those who believe that they are wise. Lao Tzu, whose great role in the field of security is sadly not as widely recognized as it should be, pointed out that: “Knowing that you do not know is the best. Not knowing that you do not know is an illness.”

In short, Security Forces and Corps have the objective of intensifying their links with other agents in the system which also get, analyze and spread knowledge on security. In this regard, we can highlight:

- Universities. Their role goes beyond that of training young people to be professionals. Universities contribute to understanding the world in which we live, they shape the world and the society of the future, as well as being a permanent source of ideas and debates as well as a center for research and innovation. Its connection with Security Forces and Corps represents a need for understanding the general phenomena linked to security or crime. The police have data, but they lack time, specialized staff and social research methodologies. Through cooperation we need to elaborate on, for example, lines of inquiry such as evidence-based policing, which evaluates and measures the efficiency of policies developed in areas such as terrorism. We could also help the implementation of predictive systems, the so-called predictive police, and the implementation of Big Data. The joint participation of the Guardia Civil and European or Spanish Universities in projects financed by the European Union (FP7, Horizon 2020, or ISEC) is a regular occurrence.
- Think Tanks. These are centers dedicated to the production of ideas and recommendations about the world in which we live. They promote the adoption of

policies and are a place for dialogue and debate which, to a larger extent, also deal with political and security issues. In an analysis carried out by the Elcano Royal Institute, Lamo de Espinosa (2014) criticized the ability of think tanks to meet those needs not covered by universities. They analyze less specialized and more day-to-day matters, close to the political and social agenda, and with a wider range of agents (including economists, lawyers, sociologists, historians and other professionals, also from the security field). All of this turns them into intelligence communities and generates a future-oriented knowledge.

- The private sector. Knowledge provided by private security enterprises, by corporate security departments and by companies that provide security and information technologies is necessary for understanding new specific criminal phenomena; in order to cooperate in crime prevention, and to provide technologies that support police work. Among them, in particular, tools are included which improve information management and knowledge generation.
- The public and the citizens. The empowerment process of the individual is unlimited due to the widespread access to information and the democratization of knowledge. These capabilities are fueled through online collaboration and facilitated by social media. It could be defined as an online individual empowerment, which already fosters important collective intelligence initiatives (used both by public powers and security institutions) and that is useful for collaborative projects of American agencies (such as IARPA).
- Publicly-funded training, documentation, analysis and prospective centers. All of these have characteristics in common with one another: they work with knowledge and they work for knowledge. They obtain, treat and spread knowledge adapted to the aims pursued. The strengthening of knowledge networks among this center is of crucial value. We can say that knowledge leads to more knowledge, and for this reason there are usually informal and transversal collaborative networks among these departments, such as the Guardia Civil and its collaboration with the Academies, the Guardia Civil University Center, the Analysis and Outlook Center, the Historical Studies Center, etc. There is also external cooperation with different entities such as the Center for National Defense Studies (CESEDEN) or the Spanish Institute for Strategic Studies (IEEE).

In short, as Montesquieu said, “you have to study a great deal to know a little”. To this, we can add that one should listen a lot to learn a bit more, something that Winston Churchill defined as bravery, “which is required for standing up and talking” but also for “sitting down and listening”.

3. KNOWLEDGE FOR DECISION-MAKING PROCESSES IN TIMES OF UNCERTAINTY

“The development of history is not linear. It is full of turbulence, bifurcations, detours, periods of static immobility, periods of latency followed by virulence ... History is a tangle of jostled stories, unpredictable and uncertain; it develops and shrinks, goes forward and backward, stops and starts.”

Edgar Morin

Uncertainty is clearly linked with security. Moreover, it is a hallmark of our time. Economic, political, leadership or moral crises foster this feeling. In the last few years, these political and economic crises have affected citizens and enlarged the confidence gap between governments and them. Public trust levels in our governments have never been so low. We live in a society unable to find referents or role models, in the context of an unprecedented leadership crisis and a crisis of democratic systems, as the World Economic Forum points out in its report "Outlook Agenda 2015".

In aspects purely related to security, uncertainty may occur in the variety and unpredictability of current threats.

Uncertainty is here to stay. The changing, interconnected and ubiquitous nature of today's world; technological developments; the absence of flexibility in organizations and institutions (both national and international); or the doubts about the current and the forthcoming leaders of this world only bode an increase of uncertainty. In this regard, we are left with two options. The first is regret, which leads to an increase in societal fear. This can partly be explained by the misunderstanding of current threats, which are uncertain and therefore difficult to control. It is also due to the fear of loss once high levels of security and welfare are achieved. Other interpretations include critical views about societies oriented towards risk management, forgetting about the alternative opportunity management. And, finally, we should not dismiss the value of risk assessment on the part of public authorities and the media which, due to conflicts of interest, are not always objective. As an example, we could compare the victims that Al Qaeda or Daesh have left in the USA with those victims of the attacks by right-wing extremist right groups or by the violent use of firearms among the citizens themselves. However, as Taleb (2012) claims, the possible reason for this society of fear is that, despite the low rates of violence and conflicts as compared to other moments of history, the probability that these unknown risks will materialize is much higher.

The second option is to face reality and try to manage and take advantage of this uncertainty. In this regard, there are two further alternatives, both of them compatible with one another. On the one hand, we could attempt to build more resilient societies. Taking into account that complete security is impossible, we would try to ensure a return to normality after any attack or catastrophe. This concept is integrated into all modern national security strategies. The second alternative would be to create the necessary constraints to limit the strength of the adversity, denying them the possibility of becoming stronger after chaos or uncertainty situations than before. This is what Taleb (2012) calls anti-fragility. Those organizations, people or things which get stronger in adversity are anti-fragile.

For this purpose, we have plenty of tools that once again lead us to turn to the academic world and at new theories regarding public decision-making. Rational theories for the design of public policies are obsolete. These theories consider that choices made by individuals are made following a number of rationally formed and correctly executed procedures. These incremental approaches (Lindblom, 1959) assume that, at the highest government levels, all alternatives and lines of actions are considered through an incremental process, in which many initiatives are formed, even outwith the governmental structure, including citizens, associations, lobbies or international allies.

The limitations of both models have led to the search for intermediate models. One of the most well-known of these intermediaries is the so-called *Mixed Scanning* model

developed by Etzioni (1967). Etzioni proposes the combination of a high-level decision-making process which establishes the most basic decisions, the management and the basic framework, with another, incremental, process which takes precedents into account and which implements fundamental decisions. Through incremental measures, the system is changed, laws are adjusted and planned actions are carried out. However, a conservative incremental process does not adjust to the demands and current security needs. There is a need to expand on the process of making fundamental and structural decisions in a way which would allow for the periodical reorientation of objectives, procedures and tools.

However, these models do not accurately reflect the reality of the current decision-making process, which in many cases is carried out neither sequentially nor as a process divisible into different phases. In this regard, we should highlight the *garbage can* proposal (March and Olsen, 1976), based on the concept that decisions are the result of a chance meeting between problems, solutions, participants and opportunities, influenced by temporary factors. This model takes us closer to the reality of a world based on uncertainty. We should also mention the *multiple streams framework* (Kingdon, 1984), which stresses the evidence of public decisions emerging from the confluence of three streams of activity: that of problems, public policies, and politics.

In *Seguridad Nacional, amenazas y respuestas* (de la Corte and Blanco, 2014), Blanco and Jaime propose the incorporation of new perspectives and the integration of models, searching for more holistic approximations which would allow us to recognize the wide-ranging, global and systematic reality of anything related to security, among them:

Models based on intelligence-led policing. A doctrine of evolutionary intelligence (and not so repetitive) must be created reconsidering and adapting the studies of Platt (1957), Hilsman (1956), Heuer (1999), Knorr (1964), Hughes (1976) or Treverton (2011).

- Theories which aim to combine incremental models with new perspectives and which are based on the detection of variables that should lead to an intentional, not incremental, and structural transformation of a public policy (Dente and Subirats, 2013).
- Collective or massive intelligence systems or the application of the *webarchy* concept (Spanish 'redarquía', a system for collective, transparent decision-making coined by José Cabrera).
- Models of analysis of classic risks, based on the standard *ISO 31000 Risk Management*, and especially those models of assessment which are continuous, such as the one included in the United Kingdom's *National Security Risk Assessment*.
- Critical security studies and critical studies on terrorism, enabling the creation of new perspectives and methodologies.
- Models for the evaluation of public policies and decision-making processes, which, when they do exist, are clearly inadequate. The research carried out on *Evidence-Based Policing* strongly supports this task.
- Models such as that of the *Balanced Scorecard* which, despite its age, can still be applied to national security (Nowakowska-Krystman, 2008).

- Janis' theories (1972) about group thinking, polarization thinking (Bray and Noble, 1978) and premature consensus thinking (Nemeth and Nemeth-Brown, 2003), which shape decision-making processes.
- The inclusion of "future studies" in strategic design and decision-making (Blanco and Jaime, 2014).
- Studies about decision-making, such as those of Khaneman (2011) or Taleb (2012), as well as the development and application of specific models for the process of decision-making in times of uncertainty.

Mansky (2013) points out that, when public policies are adopted, there is very limited understanding of its effects. This endeavor (that must be carried out previously) can be managed, albeit to a limited extent, through a forward-looking approach. One way in which to manage it is through combining all possible forms of knowledge about the future (tendencies and megatrends), the "future present" in the words of Esposito (2011), with that of those "present futures" which materialize over time. This vision enables the construction of tracking models (through different techniques such as trend analysis or horizon scanning) in which imagination and creativity can be used as a means for creating opportunities (Blanco and Cohen, 2014).

As Morin also agrees, *"We have to learn how to confront uncertainty because we live in a changing epoch where our values are ambivalent and everything is interconnected. This is why the education of the future must review the uncertainties connected with knowledge."* Thus, we have again returned to the question of knowledge and ignorance. Let us remember Juan de Mairena, that professor described by Antonio Machado, who said that: *"the purpose of school is learning to rethink your thoughts, to unlearn what you have already learned and to doubt your own doubts, as it is only by doing this that you can ever truly believe in something."* This is the path to follow when it comes to uncertainty: to doubt, to have a permanent thirst for knowledge and to develop the ability to constantly adapt and change your ways of thinking and understanding, casting aside what we have learned, experienced and believed before, as, in the majority of cases, these serve only as obstructions which prevent us from seeing what is waiting for us on the other side.

4. KNOWLEDGE AND STRATEGY

"Long range planning does not deal with future decisions, but with the future of present decisions."

Peter Drucker

Continuing with Edgar Morin: *"Thought is not only knowledge". It is also "strategy, and as with any strategy, it must not only make maximum use of its knowledge of order, but also confront uncertainty, randomness, that is, the zones of indeterminability and unpredictability that it encounters in reality"*.

Moreover, we must highlight this link between strategy and tactics, usually considered two separate areas. Tacticians maintain the importance of their functions, while strategists argue the opposite. In the end, as in many fields, it is this perverse specialization which prevents us from standing up and leaving our offices to see what others are doing, a disinterest which ultimately leads to the loss of knowledge. In the security

field, there are plenty of ways of linking both aspects. One of them is through implementing early warning systems, one of the fields that most require research and development more research. As Sun Tzu once said, “*strategy without tactics is the slowest route to victory. Tactics without strategy is the noise before defeat*”.

In general, there are four concepts that come into play in this debate in an academic context: Knowledge, Intelligence, Outlook and Strategy. These concepts are defined as follows:

- Knowledge. Knowledge is defined as the data and information processed in such a way as to fit in a context and directed towards an aim. It is as much a final product as a process.
- Intelligence. Intelligence, according to the traditional definition, is the final product of a cycle (the so-called intelligence cycle) which starts with planning and continues with obtaining information, analyzing or elaborating, and then spreading this information with the purpose of supporting decision-making. As knowledge, it is both a product and a process. However, we consider that this definition as a cycle is too restrictive and does not correspond exactly to how intelligence works, far from a cyclical and sequential structure. We advocate instead the use of the expression “process of intelligence”.
- Outlook. This is the study of the future in order to be able to influence it.
- Strategy. In this particular case, we consider strategy to be the definition of a mission, a vision and certain values as a first step towards determining those actions that will allow for its fulfillment.

Knowledge is the basis for the entire system. Intelligence, as well as Outlook, could be considered specialized types of knowledge, with their own autonomy and special characteristics, as well as being suitable for strategic planning.

Therefore, Intelligence, in our sphere of security, is able to explain phenomena through a cognitive and analytical process, thus supporting the decision-making process.

However, the main difference between Intelligence and Outlook is a temporal one. Intelligence analysis does not focus on the medium or long term, although in many cases it leads us to a product that looks into forthcoming events. Besides, Outlook has a wide methodological catalog, although it has some things in common with intelligence analysis.

On this basis, we consider that strategic planning must incorporate those elements, comprising a pyramid:



Figure 1: Strategic pyramid. Source: Own elaboration

5. THE KNOWLEDGE OF THE FUTURE FOR THE GUARDIA CIVIL OF THE FUTURE

“The future has many names: For the weak, it means the unattainable. For the fearful, it means the unknown. For the courageous, it means opportunity.”

Victor Hugo

A prior knowledge of the future is an essential step in the creation of the Guardia Civil of the future. If the objective of the Guardia Civil is to be a security corps characterized by its proximity to the citizens, it is essential to know what that citizen will be like, their needs, their values (that will probably differ greatly from their current ones), their concerns and their expectations.

According to the Analysis and Outlook Center, the so-called future studies should include lines of forecasting research, such as foresight. At the same time, they should incorporate quantitative and qualitative aspects (human behavior, a key factor in security, cannot always be quantified).

In terms of Outlook, it is important to begin with a current analysis of the field that we want to study. An approach to those stakeholders whose actions may condition the future, as well as an approach to the factors in question (political, economic, social, technological, legal, environmental or demographic) is carried out through analysis methodologies such as PESTEL or SWOT. This primary research is the very foundation of the system. Such basic factors reveal findings regarding the future, which in some studies are called megatrends (issues that will not change in the future such as population growth, except in the case of conflict or a big catastrophe). Additionally, there are other factors which create more uncertainty (things we are aware of being

unaware of) and can generate both favorable and not favorable scenarios. These factors are known as Game Changers and the clearest example of these is technology. Finally, incidents of low probability but high impact are called Wild Cards. Examples of these would be cyberterrorism, a nuclear war or a pandemic.

Taking this into account, as well as the fields that we want to study (as Outlook can be applied to specific sectors) and the study of possible threats and risks, we create different future scenarios. We would like to stress the fact that it is not about guessing, but about establishing options (it is always possible, however, to allocate different degrees of probability).

But the most interesting part is the following phase, where actions are defined in order to arrive at the desired-for future and avoid those undesired ones. In other words, it is a process of maximizing opportunities and reducing risks.

The prospective study and analysis needs time to collect information, to compare it, to reflect on it, to develop capabilities with which to deal with it (especially creativity) and to continuously improve methodologies.



Figure 2: The world in 2030. Source: Own elaboration.

A potential prospective process is shown in the figure above. Starting from the knowledge of the world at a specific moment and, using 2030 as an example since it is the period in which a megatrend is theoretically developed (15 years), we can identify the specific characteristics of our nation, as well as all those aspects that could have an influence in the security conditions of that year. In this way, we can carry out studies of future variables, about the evaluation of the different agents and about the possible risks and threats to security. That information is an input for setting the organizational needs of a specific moment in time.

Prospective can be an input for the strategic management system. On the basis of what we have already said it could:

- Initially be a sensor of the socio-technological change processes and of the trends that start to grow, serving as the base that we have called knowledge.
- Increase the rank of actors in the international system, that increasingly include media, universities, associations, communities or the citizens themselves, creating a wider external dimension than that reflected in the usual strategic maps.
- Be a starting point in order to have a VISION that can be adapted to the environment.
- Provide with ideas for the planning, with programs and indicators (such as in the case of Corporate Social Responsibility and many projects taken out from the private world that could be implemented, always taking the mission, the vision and the values as a base).
- Additionally, the study of the future provides:
 1. A reflection about future risks and threats
 2. A different way of thinking
 3. Thoughts and reflections about the future introduces causality in the system and in the forthcoming future.

DE UN MUNDO 2030 A UNA GUARDIA CIVIL 2030



Figure 3: Prospective and Strategy. Own elaboration

The Analysis and Prospective Centre, moving forward to future projects and publications, applies methodologies for the study of the future. One of them is the trend

analysis. A trend is an observable pattern that can lead to a change, it is a gathering of processes that do not change easily and will still exist in the future. Trends are affected by drivers. A driver is an agent or factor that guides a change. From each driver we can identify indicators that help to measure and evaluate its impact. This favors a model for tracking information and is complemented by determining the effects in the future, its timing, its impact and its probability of becoming real. The study of Cohen and Blanco (2014) about the future of the fights against terrorism in Europe represents an example that follows (as some studies from the Analysis and Prospective Centre) the model chosen by RAND Europe (2013) for its analysis of the future of the society in Europe in 2030 and by Lia (2005) for the study of the future of terrorism, as well as the models used by the program Proteus of the American intelligence.

The choice of trends is made by monitoring information about social, political, economic, political, technological, environmental or legal aspects. It is also made by continuous bibliographic revisions of all the reports about the future that have been written, such as those of the US intelligence (Global trends 2030 or World Wide Threat Assessment), those of the Defence Ministry of the UK, of the World Economic Forum (Global Risks), the information from the intelligence unit of The Economist, the CSIS or publications such as Wired in the field of technology.

Taking this as a basis, and moving forward to future projects, for the Analysis and Prospective Centre these are the trends that will shape the future in security:

Political
Globalization and manifestation of its negative aspects
Leadership crisis at every level. Vague and diffuse power
Crisis of representative democracies
Reduction of the power of the nation-state and increase of non-state actors
New expectations of citizens' participation in politics and loss of confidence in the institutions
Corruption
Increase of nationalisms
Increase of extremisms and radicalization
Generalized and never-ending conflicts, increase of weak states
Increase of vigilantism. Controlled and vigilant societies

Table 1. Political trends

Economic
Globalization and economic interdependence
Increase of inequality
Evolution of unemployment, especially youth unemployment
Control of the financial system
Economic crisis: debt and liquidity
Opening of new commercial areas
Opening of new transportation routes
Energetic dependence

Global growth of the service sector
Greater demand of social responsibility to firms and organizations

Table 2. Economic trends

Social
Increase of protests and riots
Migrations
Ageing of societies
Mobility, interconnection, ubiquity and increase of travels
Individual empowerment
New participative citizens. Users, creators and politicians
Urbanization process, cities as the center of power and conflicts
Globalizations of new values
Social, cultural and religious polarizations
Inclusion of technology in individual and social capabilities

Table 3. Social trends

Technological
Development of IT and communications
Robotics
Nanotechnology
Quantum computer
New means of transport
Technologies that can have a harmful use (drones, 3D printers...)
Smart Cities
Biometry, sensors, increased human capabilities
Big Data
Increase of links between the cyber and the physical world

Table 4. Technological trends

Environmental and sanitary
Greater demand of resources
Impact of climate change
Increase of natural disasters
Pandemics
Overexploitation and removal of species
New clean technologies
Water shortage
New energy exploitation
Conflicts due to the increase in demand and scarce resources
Better health and life expectancy

Table 5. Environmental and sanitary trends

Taking this as a basis, we can say that there are 10 aspects that will be constant and central in the security agendas.

Top ten agenda in security
Conflicts and fragility in states
More links between terrorism and organized crime
Increase of low-level conflicts. Insurgencies and subversion
Management of the future urban life
Impact of technologies in security
Increase of nationalisms, extremisms and radicalization
Inequality and unemployment
Pandemics and climate change
Evolution of the Internet and social media
Evolution of the citizens. Individual and on-line empowerment

Table 6. Ten agendas of security. Analysis and Prospective Centre

As a result of these previous analysis and of a bibliographic revision of the main studies about future police challenges, this would be a possible selection of them:

20 PRESENT AND FUTURE POLICE CHALLENGES
Technological revolution. Threats control and exploitation of opportunities that come out from technology
Police agents with excellent digital capabilities for assisting the citizens and for police investigation
Actions in the cyberspace against threats that operate in the physical space and interventions in the physical space against threats and their origin
New concept of citizens-proximity. In the street and in the cyberspace. Evolution of the concept "community policing"
Increase of the interventions abroad. Conflicts that will need processes of crisis management and stabilization. Reconstruction and training of police.
International dimension of the police actions. Increasing number of people and national interests to protect abroad and interest of tourists in Spain.
A training oriented to the development of capabilities and competences, a "know-how"
A human-resources management based on the talent
Specialization on security for the elders, due to the population ageing
Specialization in minorities, races, communities, with the aim of avoiding urban ghettos, social polarization and confrontations in the future urban life. Socio-cultural intelligence development.
Specialization in the intervention against insurgencies, subversions and other low level conflict manifestations.
Implementation of evaluation and measurement models about police efficiency. Competence according to the budget, as in the USA.
Cooperation and collaboration will not be an obligation, but a natural way of performing.
Integration of multiple stakeholders in the models and the security system. Increase in the participation of the public sector. Universities, think tanks and citizens.
Competence adaptation to crimes with unclear jurisdiction.
Absolute transparency in the police performance.

Less command and control. More intelligence at every level.
Implementation of Future Studies or prospective. Need to create new futures every moment.
Development of new thinking, knowledge, design, strategic, leadership, communication and decision-making models, adapted to a fast and uncertain world. Everything will be a change so there will be no need to manage it.
More flexible structures and bureaucracies.

Table 7. 20 police present and future challenges. Analysis and Prospective Centre

6. A MODEL FOR INTEGRATING KNOWLEDGE INTO THE STRATEGIC MANAGEMENT

“In moments of crisis, only imagination is more important than knowledge.”

Einstein

In an uncertainty situation such as the one we are describing we should not undervalue any piece of information, any news, event or product of the imagination that can have an effect in security. As there are many interest inputs, we should go on in the construction of models that integrate the small things (what is specialized, partial or defragmented) in models that get us closer to the vision of the Big Picture about a fact. Moreover, this should be carried out in a continuous way, from a temporal perspective, taking the past into account, but also the present and the future. Von Clausewitz pointed out “our knowledge of circumstances has increased, but our uncertainty, instead of having diminished, has only increased. The reason of this is that we do not gain all our experience at once, but by degrees”. A great variety of sources, a non-linear time and limitation of the cognitive capacities of the individual must lead to the implementation of new models for the knowledge management for security.

Cohen and Blanco (2014) suggest a decision-making model in the field of counter-terrorist groups that, adapted in a generic way to the security field, integrates at least five models: a wider intelligence process and adapted to the current evolution, a decision-making process and design of public policies, the models of “connecting the dots” of RAND Corporation, the model of Evidence-based Policing enlarged and the Future Studies and Prospective (Figure3):

- A new intelligence process. The sources are not the traditional ones. Instead, imagination and creativity are included as additional sources, as well as the previous experience and knowledge (a way of “fast-thinking”, according to Kahneman, but useful in cases of having to adapt urgent decisions in uncertainty environments, taking knowledge and previous experiences, but with the risk of other cognitive mistakes). The stakeholders are much more numerous than usual. The center of the system are the various “what-for” that we already said, created by Trevorton. With them as a basis, knowledge or intelligence requirements are produced. The people are in the center of the system, not only the processes. Technology has further modified the classical cycle and its phases, anticipating at the moment of the obtaining issues that would be otherwise in previous phases, such as the classification, the integration of information or the sources evaluation. That is why instead of talking about phases of a cycle, that

is not the real one neither the sequential one, we point out different techniques or methodologies used for the analysis: scanning, monitoring, analysis, etc. In all these models the concept of “event” is crucial, an incident that can be important to the organization but once produced it is hard to detect. They would be possible weak signals to inchoate to early-warning systems and that, if they continue over time, they can become trends.

- The decision-making processes. The model presents the need of having right now the best possible knowledge and the best possible intelligence. At the same time, it incorporates the moment itself of making the decision, as well as the subsequent evaluation of the effects of those policies. It would incorporate all that has been pointed out in section 3 in this article.
- Enlarged evidence-based policing. Instead of considering solely the evaluation and measurement of the executed security policies, this evaluation should also reach:
 1. The way in which knowledge and intelligence are generated, taking into account all the necessary sources and actors.
 2. The process of generation of that intelligence. Methodologies and techniques. Scientific method, investigation methodologies from social sciences and structured techniques of intelligence analysis. Knowledge integration, in order for the decision-maker to have the best means before deciding.
 3. The decision-making processes, political, group or psychological aspects that affect it.
 4. The effects generated by the decision-making.

The analysis of the effects of the adopted decisions and the evaluation of the process leads to:

1. Fixing new knowledge or intelligence needs.
 2. Searching new procedures, methodologies or techniques.
 3. Improving communication processes.
 4. A better decision-making and strategic design.
- Future studies. It incorporates a global vision. Past, present and future are not lineal constructions; they overlap and affect each other continuously. The past affects the present and the future. Current expectations about the future introduce causal elements in its evolution. Taking the present as the moment for decision-making, it is necessary to take into consideration the past as well as the future. Especially in regard to detecting risks and future threats, as well as in regard to the possible previous fixing of the effects that the adopted measures can generate.

It is graphically represented as follows:

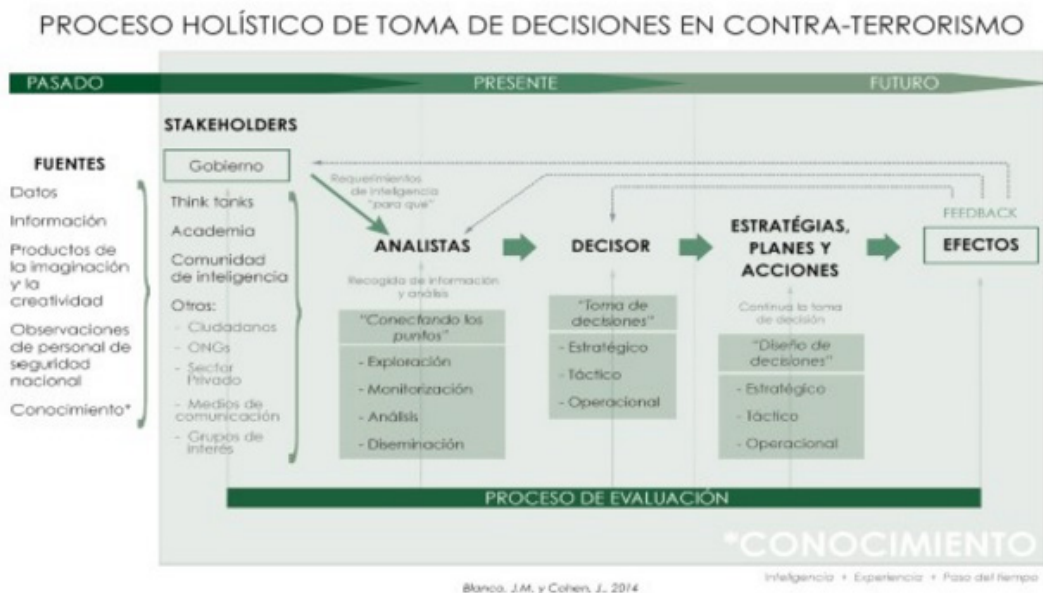


Figure 3. Holistic process in decision-making (Blanco and Cohen, 2014).

7. A CULTURE OF INTERNAL SECURITY AS APRT OF NATIONAL SECURITY

“If wisdom were offered me with this restriction, that I should keep it close and not communicate it, I would refuse the gift.”

Seneca

Knowledge is there to be shared, to be spread, to be applied and adapted to different interest groups, to collective problem-solving. The spread of a culture of security fulfills certain goals that can be represented in a pyramid. In the base there is the obligation to inform, then the possibility to communicate, thirdly the opening of new ways of community policing, after that the possibility of co-creation and, finally, the citizen’s commitment. It is necessary to have the citizens committed to the safety of everyone, trained and informed, and with a personal and collective assumption of responsibility (Blanco and Moya, 2014).

The development of a culture of security is an additional contribution to transparency and open government. It prepares the citizens for the interaction with a police body, such as Guardia Civil, very close to them.

Nowadays is National Security and its evolution what links all the actors of the security system. For National Security culture, we understand “the group of pieces of knowledge, norms, values, goals, attitudes and practices that are shared among the society and aimed at safeguarding and guaranteeing national interests” (Blanco; de la Corte; Jaime, 2014).

The most direct contribution of Guardia Civil is focused on Internal Security that, as pointed out in all the reports, is not a piece separated from International Security. The separation between the internal and the external is becoming more and more diffuse; in new areas with no jurisdiction, such as cyberspace, the concept of Internal Security still has a clear scope of action. While the armed forces have been years working on the spread of a Defense and Security Culture and the National Intelligence Center

(Centro Nacional de Inteligencia, CNI) has worked for more than 10 years in an Intelligence Culture, there are very few references to an Internal Security Culture.

First of all, it is difficult to find a conceptualization of Internal Security, and this does not happen only in Spain. This does not stop the existence of a Ministry of the Interior, in Spain, or a Homeland Security in the USA, or an Internal Security Strategy in the European Union.

In the case of the USA, the concept of Internal Security is evolving, as any current phenomenon should do. The concept becomes developed and institutionalized since the 9/11 attacks and is built adding domain areas: terrorism, disasters and emergencies, immigration and rule of law. The concept appears in different strategic documents such as the National Security Strategy from 2010, the National Strategy for Counter-terrorism from 2011, the National Strategy for Internal Security from 2008, the Quadrennial Internal Security Revision from 2010 or the Strategic Plan of the Internal Security Department from 2012.

Definitions are different in each of these documents, starting from the National Strategy for Internal Security from 2007: “a national effort for the prevention of terrorist attacks in the USA, for the reduction of America’s vulnerability, for the minimization of damages and the recovery from the attacks that may occur”. The National Security Strategy from 2010 enlarges the concept: “a coordination among the federal, state and local levels to prevent, protect and respond to the threats and natural disasters”. In the document titled ‘Botton-Up Review’ from 2010, the framework is enlarged to the customs control, irregular immigration and maritime transport systems’ security, apart from the areas we have already mentioned such as terrorism or disasters’ management. It is perceived, though, as the construction made taking the assigned matters as a basis. In any case, the competences of Internal security mentioned in these documents vary from ones to others and do not respect a priority order, although, following the Strategic Plan from 2012, we can point out 6 clear functions: the prevention of terrorism, border security, immigration control, cyberspace security, emergency and disasters management, the resilience assurance and the fundamental support of national and economic security.

In the European Union there is not a clear concept on Internal Security either. However, there were enough reasons for its development: external borders close to fragile states, the vulnerability caused by the free internal movement and transport, the high population density, the distribution of competences between the EU and the Member States and the existence of external and internal terrorist movements, such as IRA or ETA. The Internal Security Strategy of the EU, from 2010, faces this subject and we believe that partially solves the obsolescence of the European Security Strategy form 2003, which was indirectly fixed through the report on its application from 2008.

The Internal Security Strategy points out that this concept should be understood as a wide a complete concept, that spreads into different sectors and that must face important threats, including natural disasters and the ones caused by humans. It is especially remarkable the necessary participation of different actors; police, judicial actors, health sector, social services and civil protection. However, it lacks a complete definition. Solely in the first section it indicates that Internal Security means: “the protection of the people and of the values democracy and freedom, so that everyone can enjoy its daily life with no fear”. This sentence is similar to art. 104 of our Constitution,

which mentions the Security Forces of the State. According to the areas that conform the concept, the Strategy stresses the followings: terrorism, organized crime, cyber-crime, cross-border crime, violence (among young people, in sports...), natural and man-made disasters, border management and others (it points out car accidents). The document titled Interior Security Strategy of the EU in Action structures the efforts in 5 areas: organized crime, terrorism, cybercrime, border security and resilience against crisis and disasters.

In Spain, as we have already said before, there is no clear doctrine in the subject of Internal Security, but there is a doctrine about each one of its components. Moreover, the diversity of actors, much wider than in the field of Defense, has stopped the development of a common culture. The Culture of Internal Security could be defined with a combination of art.104 of the Constitution and the general definition of culture: “the group of pieces of knowledge, norms, values, goals, attitudes and practices that are shared among the society and aimed at safeguarding and guaranteeing national interests”.

The role of Guardia Civil in spreading an Internal Security Culture, and its contribution to National Security, should be a leadership role. The Guardia Civil has competences in all mentioned areas. The “citizen assistance”, mentioned in the mission established in its Strategic Management System, the proximity to the citizen and the goal of being a referent for the “quality, versatility and availability”, as well as the values of Guardia Civil (especially its spirit of service), have an influence in both the external and the internal perspective included in that System. In the external dimension we should highlight the aim of “consolidating the citizens’ security and bringing assistance, care and information with proximity and quality”. In the internal processes the aim is to “promote the relations with the community and the awareness of our Institution”.

Now we will list in a non-exhaustive way the means that uses Guardia Civil to spread the Culture of Security:

- Through the daily performance of its workers, men and women. This is proven to be true by the surveys from the Center for Sociological Investigations, in which Guardia Civil comes up as the institution that generates the most trust to the citizens. That confidence is achieved through closeness, proximity and the daily service.
- The webpage of Guardia Civil.
- Social media such as Twitter, and channels in YouTube, Flickr and similar.
- The cooperation with universities, that is shown in the increasing number of agreements with many different universities, students internships in Guardia Civil offices, the increasing demand of professionals of the Institution such as professors and speakers.
- The creation of a University Centre of Guardia Civil, responsible of the training of the officials of the Institution, security engineers.
- The University Institute of Internal Security Investigation (Instituto Universitario de Investigación en Seguridad Interior IUISI), created through an agreement between Guardia Civil and UNED (Distance Education University of Spain) and that each year organizes a great amount of workshops and seminars of spread and free to any citizen.

- The celebration of the patron saint of Guardia Civil, the festivity of the Body, which becomes an important event for the city in which it is celebrated each year.
- Visits of schools, groups and institutions to our offices.
- The activities that carry out the Foundation of Guardia Civil.
- The historical and patrimonial funds of Guardia Civil, especially its museum, open to visitors.
- The libraries, especially the digital one, which includes resources from the Officials Academy of Guardia Civil and a selection from the Analysis and Prospective Centre.

8. CONCLUSION

Let us love the knowledge. It is not only that it makes us free, such as Socrates pointed out. It also allows us to survive, get adapted to our world and manage uncertainty. Knowledge and the police activity are not separated worlds. Loving knowledge is loving hesitation, dissatisfaction or default. Agustín de Hipona thought that “hope has two precious children; their names are anger and courage. Anger when we see how things are and courage to stop them from staying like that”. However, anger and courage are almost useless without knowledge and intelligence.

Loving the knowledge helps to love your job. Such as Steve Jobs said in his famous graduation speech of Stanford, “Your work is going to fill a large part of your life, and the only way to be truly satisfied is to do what you believe is great work. And the only way to do great work is to love what you do. If you haven’t found it yet, keep looking. Don’t settle. As with all matters of the heart, you’ll know when you find it. And, like any great relationship, it just gets better and better as the years roll on. So keep looking until you find it. Don’t settle”. The paths of knowledge never allow you to stop. Let us keep on that a do not stop, title of the poem of Walt Whitman, that begs us not to allow “to arrive to the end of the day without having grown a bit”, “without having increased our dreams”, or “think that the future is in yourself”, and especially “learn from those who can teach you something. The experiences of those who precede us, of our death poets, help you to walk through live”.

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GUARDIA CIVIL AND THE FUTURE

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ABSTRACT

The current world in which we live has characteristics that make it different from other previous times. Phenomena such as technological development, economic globalization, the proliferation of supranational organizations, as well as improvements in transportation have facilitated the emergence of a global, dynamic and changing world that, away from being static, is characterized by mutability and uncertainty.

Guardia Civil, as well as other public and private organizations, must be prepared to face a continuous process of adaptation to change, which enables it to continue to provide a service to society with the same spirit and effectiveness that has made it throughout its 170 years of history and has enabled it to gain the affection of a large part of the Spanish society.

Key words: globalization, adaptation to change, resistance to change, leader, leadership, strategic management, vision, mission, values.

1. INTRODUCTION

As many changes are taking place around the world, the organizations cannot keep on having a passive attitude, waiting for events to happen without adopting any type of measures. The inactivity of an organization towards change, without doubts, will bring uncertainty about the future of the organization itself. Some of those changes also happen in an unexpected way and, as a tornado, could generate huge instability if they are not prepared.

That is the reason why adapting to change matters in the organizational practice and theory, as it is not out of multiple trouble, in which we can point out the ones coming from the organization itself and its components.

Sometimes the personnel resists changes, because they do not what is going to happen, neither how to behave. The lack of satisfactory information, the personal or group inertia, as well as the reluctance of moving out the "comfort zone," among others, force the different components of the organization to defend themselves versus the unknown, grasping to what is known, and denying the new.

An efficient change process takes place, due to the compromise of all the members of the organization. In order to do so, the personnel needs to have sufficient information about the change requirement, which objective wants to be reached with it, and how it is going to be done. Definitely, people cannot be knock down by the process, as if they were independent from it.

In this context, Guardia Civil should be prepared to adapt and evolve as an organization with adequate speed. Guardia Civil should give the efficient and appropriate answer overtime to the new challenges and threats that emerge, such as the new needs of the society, target audience of the public security service Guardia Civil provide by legal mandate.

Guardia Civil does not start from scratch in this field, as along its history, it has been characterized for its capability of evolving and adapting to new times and needs of the citizens. These capacities have let the Guardia Civil work for 170 years.

In order to continue the path of serving the others for more and more years, Guardia Civil needs to keep on carrying its evolution and adaptation process, without resigning to its identity elements. Due to its military nature, territorial display, and its believes and traditional values, Guardia Civil has gained the acknowledgment of mostly all the Spanish citizenry.

Following the addressed order of ideas, Guardia Civil should be able to translate to its behavior a vision and guidelines with allow the Institution, according to its responsibility levels, establish an adequate adapting capacity to the different transformations the environment suffers, both internally or externally. It also enables the Institution to undertake a group of structural or other type of actions in order to achieve an organizational behavior adapted to future circumstances.

2. A CHANGING ENVIRONMENT

The recent global world is continuously changing, fundamentally due to factors, such as the appearance of new powers, the consolidation of new international actors, the biggest influence capacity of individuals, demographic changes, greater competition for the energy sources, in the so called knowledge society, or the further economical, political and judicial interdependence.

Some of these elements, such as the communication technologies development, the rising trade liberalization and the international investment or the decrease of the costs, and the improvement of the transports, have contributed to blur the frontiers between states. At the same time, these factors let a cultural globalization, which allows citizens from all around the world to get to know each other's.

Globalization and the consequent state debilitation have produced, as a matter of fact, relevant changes in the security concept. According to the *National Security Strategies (ESN)* "together with the risks and hazards with could be defined as traditional, there are other new ones which are considered more complex and dangerous based on other elements, such as the growing transnationality, its bigger impact in the society and State structure, difficulties in the identification and the lack of a unique gravity center."

Based on this definition, there are numerous hazards in a society like the ones nowadays, that have a global dimension and which any country cannot defend by itself. Some examples of these cases are the terrorism, the proliferation of weapons of mass destruction, organized crime, drug trafficking, cyber attacks, illegal immigration or damages in the environment.

In fact, transnational delinquency has turned into a hazard against peace, development and even for national sovereignty. The market of delinquency embraces the entire planet, as the origins of illicit products is one continent, but is transferred through another one, and is commercialized in a third one¹.

Nowadays, the dimension of security is such a challenge that the countries are forced to cooperate and collaborate between them, as well as join international and supranational institutions, as any of them can deal with its own security on its own. Isolated and unilateral answers are not effective against challenges that need a multi-disciplinary combined action.

Developed modern societies also demand security actions to an extent of broad range of aspects of social life, forcing the design of omni-comprehensive public policies and embrace principles, which traditionally were not considered inside the field of security (environment, healthcare, economy...). The concept "Human Security", defined in the *United Nations Development Program* in 1994, implies that the design and development of any type of security policy should carry a transversal focus and should be inspired in four general principles:

- People as the security target. Public security should not be considered only as the fight against delinquency, but as an obligation that looks for guaranteeing and improving the cohabitation and quality of life. Maximum respect to Human Rights, as well as the legitimacy of the actuaciones are always considered both from the participation of the citizens, or proximity of them.
- Prevention as basis criteria for performance. Nowadays, the gravity center of public security policies must move from the reaction against hazards and danger situations, towards the prevention of these risk situations. For that, an adequate prevention of the risks the society is exposed is fundamental by identifying them early and applying efficient mechanism for the prevention of crime.
- Security Systems modernization. Arrange sufficient human resources, adequately prepare and get all the appropriate material goods to fight against the emerging risks and hazards.
- International and national cooperation. Nowadays, important cooperation security tools are required, both national and international, which enables the use and application of efficient mechanisms to prevent crime

The described scenario, characterized by the dynamism, uncertainty and a bigger citizenship demands in the quality of public services received. States, and the public security institutions they form it, are forced to implement instruments capable of systemize the adaptation and renovation processes which gives a more adequately and efficiently answers to the issues related with security. According to the National Security Strategy (ESN), "the current security concept must be wide and dynamic, so it can fill all the concerning spheres of the State Security and from its citizens, which are variable depending on the strategic environment fast evolutions, and come from economic and financial stability, to the critical infrastructures protection".

1 UNITED NATIONS INFORMATION SERVICE (2011). The Organized Crime is global and has turned into a hazard for our security. Vienna International Centre. Vienna. P.1

Although the need for change and the adaptation capacity have always be present along history in all societies, unpredictability and the speed changes have in nowadays structures, force nowadays structures to be more conscious and prepared for coping with this situation, as today the quote “adjust or perish” would gain meaning thought.

It is obvious that existing organizations should deal with a dynamic and changing environment, to which they have to constantly and progressively adjust. However, this constant adaptation process is not simple, as it has affected the performance of them, setting up new elements to take into account in the adaptation and change processes.

According to its origin, two strength groups that can work as a stimulus for change can be distinguish:

- External strengths constitute by elements from outside the organization, such as globalization, technological progress or social, political and economical changes. They produce changes inside the organization
- Internal strengths, which come from inside the organization, among which we can stress elements such as the human, financial and material resources availability; structural, procedural or normative reforms; or the technological updates.

Therefore, it seems obvious that, when undertaking adaptation or renovation processes, an organization cannot only take into account the external factors, but also the internal variables, such as human capital, material and financial resources, its organizational structure, its tasks and its principles and values which constitutes its own idiosyncrasy

3. THE STRATEGIC MANAGEMENT IMPORTANCE IN THE CHANGE ADAPTATION

As we have already pointed out, it is obvious that all the organizations, independently from the size and field of activity, must daily deal with new challenges and defiance from new matters that influence its performance and organization. The survival of the organization greatly relies on its change possibility, its adaptation capacity and the environment demands and flexibility to confront uncertainty.

To keep on track with the variable environment, the organizations should be open to change. However, adaptation to change should not be improvised, neither the result of a simple action-reaction process. Organizations which do not follow these process are not truthfully adapting, but solely, and being optimistic, could only lead an “obstacles race”, in which the last aim is keep surviving without having a real project, which inescapably will lead to its possible disappearance.

On the other hand, organizations have the chance to deal with change proactively. We understand that changes produced in the working environment bring new opportunities to keep fulfilling the objectives for what they have bee created. But, how is this achieved?

The previous question has no answer that as a “master formula” guarantees the success of an organization in coping with change. However, what is known is that it is impossible to achieve it following the presented pattern, waiting for the events to happen, without prevention or anticipating the new environment demands.

In this new context in which strategic management has a primordial role, as it enables the establishment of a continuous evaluation of the situation and identifying which performances and procedures has lost effect, due to the changes which took place both inside and outside the organization.

Strategic management implementation can give a competitive advantage to all those organizations which applies it, as it let them continuously adjust to internal and external changes resulting from the technological evolution, the new social needs or to the legislative changes among others.

With every new change, anybody could conquered or benefit from the new strengths, weaknesses, opportunities and threats that comes with it. An organization will only hope for keeping pace and fulfill its aims, by applying the strategic management as an iterative process which will allow developing a sharp perception to anticipate to changes, use the environment variations and focusing the institutional activity to be always on the forefront.

The result of what is explained before is going to be much dependent on how the organizations are led and directed. The role of the leader of these processes, both for its responsibility and for being a change agent, needs to be emphasized². The leader is responsible for assuring a positive result and developing direction practices to enhance the change processes. Nowadays, leading the change is one of the most important functions the leader.

However, leading the strategic change process in the organizations implies extending the traditional vision and assumes that change, more than a directed and planned action of the leader. It turns into a permanent possibility of transformation that allows the adaptation of the organization in the conditions of the environment. The leader, more than leading the change, develops the processes that let it direct it.

This recent vision of the management change answers to a modern vision of the administration, in which the organization is a complex system, compound by a series of interdependent and linked elements, which at the same time are formed by systems and subsystems that behave as if they have an independent life. They organize themselves in a natural and spontaneous way. For these reason, in the interaction with the rest of the agents of the system, the leader influences so new adaptive states could emerge to assure its survival, while intentional change is favored. But, inevitably, new no planned, and even improvised states will come from the environment and its interaction with the rest of agents of the system. The leader will not be able to control them, but visualizing them to guide the system transformation³.

In other words, the biggest challenge is making the leaders to assume the change differently, abandoning the intention of total control, which nowadays turns out to be less likely.

This strategic management process, in which the leaders have to play a key role, strategic vision turns out to be the starting point from which the organization would be able to design and apply strategies to align its daily work processes and its previously

2 CONTRERAS TORRES, Françoise and BARBOSA RAMÍREZ, David (2013). Del liderazgo transaccional al liderazgo transformacional: implicaciones para el cambio organizacional. Medellín: Revista virtual Universidad Católica del Norte no 39. pp. 155-196.

3 "Ibid". pp. 160-161.

declared mission and vision. But, which is the vision?

Basically, a strategic vision could be understood as knowing where they want to go and present a possible future. According to John P. Kotter's work "*Managing through vision and strategy*", in order to be effective, vision must be:

- Viewable, so people could have a mental image of how the future will be.
- Desirable, so the people that will take part of it have motivation and interest about it.
- Reachable, with applicable and realistic objectives
- Focused, being explicit and clear enough to work as a guide to the leaders in the decision-making processes.
- Flexible, so it is general enough to let the existence of alternatives and the use of initiative and criteria of the leaders. The self-uncertainty of the world nowadays produces even more uncertainty, less control possibilities and multiple variables, which could make an incision on the results.
- Communicable, so it is easy to transmit and explain to the affected people.

The change process of an organization must be continuous. It requires a vision, which considers the future goal and the needed management to promote it, as well as creating the positive attitude and the sense of need, which make those changes feasible.

All of these should be sustained in a strategic management process, which allows moving its structures and procedures through the definition of vision, mission and objectives to be met. It also gives to the leaders the continuous review tool, which allow determine which actions should be developed, and if what they are doing is correct to achieve the expected objectives. These will reduce uncertainty to the maximum, keep the stability and guarantee the pre-establish results.

4. COMMUNICATION AS AN ESENCIAL ELEMENT IN MANAGEMENT OF CHANGE

As changes turns into a permanent and accelerated factor, adaptability of the individual to those changes should not be forgotten, as it is more decisive in the survival of any organization. It is known that changes and reforms, which take place inside the organization, should regularly face an important number of opponents, which are members of the organization.

This stand, so called in the doctrine as "resilience to change" could generate a source of functional conflict, which could even obstruct the adaptation and progress of an organization.

According to the Real Academia Española Dictionary, the term resilience is defined, among other meanings, as the "cause opposed to the action of a force" o the "capacity of resisting". In that sense, resilience to change could be specified as the "natural resistance to abandon our comfort zones, which are the working spheres we really know and which bring us security"⁴.

4 CASANOVAS, Alain. "Resistencia al cambio y conductas obstructivas. Serie de Cuadernos sobre cumplimiento legal". Cuaderno no 11. KPMG. www.kpmgcumplimentolegal.es p. 7.

As said before, sometimes change creates negative feelings in the people, which basically do not want to change. They believe it is not good for them, or they should move out of their “comfort zone”. Those reactions could break basic human feelings, such as perceptions, personalities and needs, but also management resilience sources. Both feed the reasons to resist to change, such as:

- Disagreement. It could be promoted basically by unconformity with the premises or the rationale, which sustain change, or in other close believes or difficulties to abandon very rooted costumes.
- Uncertainty. Fear to the unknown and unpredictability or the lack of trust in the results of the new system could generate uncertainty.
- The loss of identity. People tend to identify with what they do, so sometimes changes could be understood as an offense and create defensive attitudes.
- The need of working more. Usually, change processes are understood as a moment in which two different fronts have to be confronted: keeping with the old tasks, and beginning with the new routines.
- Experience hazard. Practice makes perfect and change could create the feeling to the workers of losing the previously obtained knowledge, putting them in a new “starting point”.
- Group inertia and the feeling of real change not taking place. The structure and the management culture create the perception of impossibility of change, without considering the global benefits obtained by the organization itself.
- Risk for the established power relations. Changes could come together with reform in the existing structures, procedures or assigned functions to its components, which could be noticed as a hazard by all the people in relevant positions.
- Resources assignment hazard. Reshaping and changing the organization could produce the reassignment of the resources according to the new established priorities, which could be appreciated as a hazard to the existing status quo.

Most of the resilience to change sources exposed before, both personal and organizational, have their main cause in the lack of information. Generally, any type of change will lead to a resistance to get it done if the personal consequences, or how to perform it is unknown.

What is clear is that change management in the organizations need a distinct comprehension of what is expected to achieve, so the communication turns into an essential element to direct and manage the change process. If people are conscious about what they are going to find, and they feel ready to take action, it will be easier to begin with the project and materialize it.

However, change communication should not be based only in informing, but it must go further. To begin with, it must give a clear long-term strategic vision, which could be prolonged on time. It also needs to be able to influence the will of the people, taking out the above mentioned feelings and promoting the appearance of positive emotions such as enthusiasm for a better future, liberation of problems and personal growth or consolidation expectations.

Communication is a basic pillar for successful development of those processes, as through it people connect with change, and knowledge, comprehension and assimilation of the existence for the future is generated.

5. FUTURE PERSPECTIVE FOR THE GUARDIA CIVIL

Continuous transformation or change situations above mentioned affect directly the institutions related to public security, which, as organizations, are also influenced by the new scenarios.

In this context, the Guardia Civil, as well as the rest of organizations, must be prepared to confront continuous and unexpected changes from the recent scenario in which it works. However, we need to highlight that this situation is not new for the institution. In order to succeed efficiently in its entrusted mission, the “change” has been constant during its 170 years of history, so it could be understood as one of its characteristics.

In this regard, Guardia Civil is forced to continue adapting its human resources, structures, procedures and methods, as a public service to citizens, to the different and diverse troubles that come out all the time, as well as to the demands of the Spanish population. Otherwise, the gap between what Guardia Civil can offer and what the Spanish citizens expect from it could produce a loss of respect and esteem obtained after all the work Guardia Civil has done along history.

With this aim, as he has been doing before, Guardia Civil has been able to anticipate to the new challenges, offering a new strategic vision that in the long and short term could be fully adapted to de needs of the XXI Century Spanish society. It has continuously been a reference institution in Spain through its efficient and quality services to the citizens. This vision, together with the principal values and purposes of the Institution, will let all its components to establish a starting point and guide that help them choosing the right decisions along its work.

The process used to define the vision, mission and institutional values must consider several values. Among them we can find the basic principles that must lead any type of security strategic plan (security focused on people, prevention as the basic criteria of actuation, modernization of the security systems and cooperation as an essential element to confront their own challenges of a global society); the reasons why Guardia Civil was created and its history; the progressive acquisition of several capacities; the current legal framework; the corporate experience; existent risks and hazards, as well as its possible evolution; and the processes of implemented strategic plan during the last years in the institution.

It should also based on the corporate experiences, which has manifested as an open to change institutional culture and join to values such as discipline, flexibility, accessibility for citizenship service or the political neutrality built on the base of assuring the progress and modernization of the Institution. In the end, an organization whose basic structure and organizational culture has been valid during many years should not deny its identity, neither taking risks without considering its own differential essence, assured by its military nature.

On the other hand, the application since 2005 of the management methodology known as Balance Scorecard (BSC) has given to the Institution a more accurate vision.

This methodology constitutes a complex system, based on systems and subsystems. It has led to immobility without introducing new technologies or technologies, as it would not produce change. Guardia Civil cannot be conceived as a complex of people, installations, equipment and procedures, only its personnel can give it life and make it work. Change cannot only be organizational, technological or of management, but also, fundamentally, cultural and behavioral.

We need to precisely identify what it can be considered as “capital elements”, which are those principles that should be taken into account as a guide or reference, when designing any strategy or action line oriented to achieve a defined goal. Those “capital elements” are:

- “Service to citizens” as a key element in the corporate action
- “Quality of the service” as a way to improve its service to the society
- “Continuous quality” understood as a review process and continuous and uninterrupted self-criticism, which allows adaptation to change.
- The function of the Guardia Civil as a “State backbone”, which assures the presence of the General Administration of the State along the national territories.
- The alignment of the “priority actuation fields” in the Guardia Civil with national and European security strategies
- Improve the “coordination” with other responsible actors in the security field.
- Affirm the traditional “values” of the Institution, specially the honor, discipline, availability, efficiency, its worthy spirit and love to the service, such as distinguishing and representative features of the nature and essence of the Guardia Civil
- “Compromise” with the complex of the Institution as a key to success in the corporate project.
- Search for “efficiency” as a distinctive element of a responsible actuation.

These essential elements, together with all the facts above mentioned, help identifying six different spheres of action from which Guardia Civil needs to focus its efforts and develop those actions considered as fundamental to reach the proposed vision. These spheres of action are:

- The citizen, considered as the goal and *raison d’être* of the Institution.
- The Guardia Civil personnel, which are the main asset of the Institution.
- Its nature and organization, which set the main elements to transmit the principles, values and traditions which shape the essence of the Guardia Civil
- The mission and the functions, which constitute the legitimate elements and reference guide of the actions of the Guardia Civil
- Coordination and cooperation, as they are unavoidable elements for the integrated action which public security needs nowadays.

Guardia Civil, thanks to that, could have a strategically conceptual base which, in the long term, let the Institution face a future characterized by uncertainty and which

could have both challenges and hazards, as well as several demands from the citizens. To sum up, the full development of this future project should allow:

- Identification of the strategic priorities of the Institution, establishing a vision which let it know where is it heading, always from a realistic and feasible.
- Determination of the strategic lines and definition of the needed initiatives or projects to achieve the planned goals, based on the marked priorities, allowing the identification of those areas of the institution which need to be improved. They must take actions destined to reach the assigned missions and reach the established vision.
- Working in improving the alignment of the Operational Sub-Directorate and the Support and Staff Sub-Directorate, making sure all the daily activities developed by all the units of the Institution help the compliance of the mission, engaging the previous strategies established for that.
- Involve all the members of the organization, in accordance with its level of responsibility, of a common project, materialized in a specific vision, encouraging people to appreciate the future organizational changes as their own, oriented to improve their professional welfare. It strengthens their compromise with the objectives of the Institution, which will definitely benefit the performance of their tasks.
- Efficiently and adequately communicate to each level of the Institution the key messages about the Institution priorities. It will involve and motivate all the personnel, creating a communication system which let them know how future will be faced, overcome the “resistance to change” that every organization suffers, and reaching a higher ratio of participation in such process.

Definitely, the future Guardia Civil needs a well delimited vision, as well as the identification of those improvement areas in which it wants to focus its activities and efforts to it, anticipating to the feasible events born in a dynamic and shifting environment, without letting go with them in the process.

Even though, as abovementioned, it is clear that an idea of these type finds obstacles, such as difficulties in specifying its key goals or actions to take into force, as well as the “resistance to change” that comes with all the organizations and people.

In order to overcome the mentioned obstacles, leadership and momentum of the higher authorities of the Institution are essential with the compromise of all the members. It has to come with the correct flexibility and a proper adaptation capacity, characteristics that have always been part of the Guardia Civil.

6. CONCLUSIONS

The general environment in which organizations are is characterized by its instability and dynamism. It demands a high adaptation capacity, which will let them rapidly and efficiently adjust to changes.

These organizational adjustment processes should not be random, improvised or made by habit, as they play an important role inside the institutions. They should be

developed consciously and adequately planned, as it is possible to clearly choose the easy way to achieve them, although it is really difficult to anticipate the effects of the changes, and let them refocus the objectives, successes and goals towards a specific direction.

Consequently, this adaptation process should be developed constantly and consciously, establishing a real progress strategy, which allows the control on change and get all the directives and members of the organization involved.

However, this is not an easy task, as it implies an analysis and internal review process, permanent learning, as well as making people more flexible and alert. These could find several obstacles; among them we can point out the natural tendency of the people to avoid change.

Guardia Civil, knowing all the facts abovementioned, must be able to guide its own future through an instrument, which let it focus its strategy on the considered essential elements, prioritize the resources assignation, highlight its own strengths, identify the different spheres in which it has to work to improve, and keep an institutional vision focus on the fulfillment of the assigned missions.

More specifically, Guardia Civil in the future needs the elements, which make easier focusing its permanent adaptation process all the institutions must take part in nowadays and reach the following functions:

- Communication of the vision, mission and corporative values, so all its members could share the same concept of the profession and ease the permanent adaptation and dynamic to changes, as well as the consecution of the institutional objectives. The clear and concise idea of “the Guardia Civil keeps on being a reference institution in Spain through the delivery of efficient and quality services to the citizens” sums up, in few words, almost as a *slogan*, the values and institutional principles that must guide and inspire to all the members of Guardia Civil.
- Explanation of the need of adapting to change, reducing the uncertainty, keeping stability and creating a proactive and positive attitude in all its members, which creates a clear and transparent exercise of communication turning it into a strategic element and needed for success.
- Promoting the compromise of the leaders, who play a key role in the institutional success, as their work, further on the mere planning, organization and control of activities and processes, has to make everyone to cooperate and participate in an active way.
- Think on the Institution as an integrated whole, in which results are superior to the total of all of the reach ones by each of its parts and in which structural changes are not enough to reach an adequate progress level. The Institution needs all its personnel to work together and actively, letting innovation and progress.

Definitely, it is important to have the instruments that let all the members of Guardia Civil, according to its rank level, which let them find the answer to the permanent question that everybody always keeps in mind: are we doing things right?

In that sense we can conclude that nowadays Guardia Civil is able to take that important task, as we can assure that it is an organized institution oriented to strategy,

able to confront the future in a proactive way in order to give answers to the increasing security demands of the Spanish society of this century, always in the frame of the designed Security Policy, for every moment, by the Spanish Government.

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SERVICES CHARTER OF THE GUARDIA CIVIL: A COMMITMENT TO THE CITIZENS

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TECHNICAL CABINET OF THE GUARDIA CIVIL

ABSTRACT

In terms of Quality of Service charters, the Guardia Civil has been a cutting-edge organization within the security sector since the approval of its first charter in 2003. Nowadays, we are encountering more and more responsible, active citizens who demand higher-quality services. It is no longer sufficient that the administration continues to provide services as usual. Instead, it should work with the citizens themselves, setting up those bridges of communication necessary in order to hear their opinions and demands, as well as their levels of satisfaction in respect to services they receive through the implementation of governmental public policy. In this task of shared responsibility between administration and society, the services charters have become a simple yet important channel which facilitates both the administration's undertaking of commitments, as well as the responsibility of the citizens to appeal to the public administration for their realization. It is for this reason that the Guardia Civil has recently shown an interest in renewing its Services Charter, adapting it to changes in regulations, as clear expression of what has always been its vocation, as written in its *vision*: "to be a law enforcement force close to the citizen and a role model in terms of its quality, versatility and availability".

Keywords: Services Charter, quality, commitment, indicators of success, management.

1. INTRODUCTION

Since the very first moment in the Guardia Civil's foundation, Quality in the provision of service is a factor which has been considered especially relevant. Phrases included in the *Cartilla del Guardia Civil* (a document first approved on 20th December 1845, in which the moral values of the Institution are defined), such as: "the Guardia Civil (...) must be a model of morality"; "carrying out their functions with dignity, prudence and firmness"; "the Institutional endeavor to be a beacon of hope to those in distress"; and "it will be take everyone into careful consideration" lead us to claim that the search for excellency in the service provided by the Guardia Civil has always been present in the minds of the managers of the Institution.

Those in charge of the Guardia Civil have always understood the need to change with the times, especially in regards to the need to be open to new organizational and managerial trends and, ultimately, the need to progress by modernizing ideas, structures and the service provided to the citizens.

In trying to understand the concept of quality, the many possible definitions of the word can be problematic. The Dictionary of the Real Academia Española (the definitive

dictionary of the Spanish language) defines quality as “the characteristic or group of characteristics inherent to something which allows for the evaluation of its value”. Taking this definition into consideration, the value represented by a quality service, or by an application of quality control systems, to an organization is extremely interesting. However, from a practical point of view, the realization of activities on the part of the Institutional administration can be viewed from two different perspectives:

- An internal one, with emphasis on the performance and strategic goals of the organization. This is what is traditionally meant by ‘strategic management’, as it could directly influence those elements linked to the competitiveness of the Institution. From this perspective, the quality consists on making things better, being more efficient, more effective, being able to achieve a greater performance and get, in general terms, lower crime rates or greater clearing up rate in benefit of public safety.
- An external one, focused on the citizen. This is the perspective under which quality control management itself operates. From this point of view, ‘quality’ could be understood as the process which consists of recognizing and satisfying the claims and expectations of the citizens, acting with transparency, participation, responsibility and commitment, with the aim of fulfilling the expectations of the citizens with regards to our organization.

Ultimately, the provision of a quality service is the intrinsic corporative desire to commit to the continuous improvement of their service. And it is that Quality, which is currently an integral viewpoint of the management which seeks to incorporate the opinion of every stakeholder in the development, maintainance and improvement of the service, with an emphasis on the user and on continuous improvement.

With regards to the strategic management system of the Guardia Civil, which serves as a framework for institutional planning, the concept of quality has been kept in mind since the very first moment of its conception. To reflect this, the strategic map appears not only in the definition of its vision (the Guardia Civil as a “role model for its quality”), but also in its mission (“to guarantee public safety and help the citizens in an excellent way”), in its consideration of the stakeholders (“contributing to society’s well-being through the provision of personal, quality services”) as well as in reference to internal processes (aiming for overall “police effectiveness and quality service”).

If we go back to the historical precedents of the first Citizen’s Charter, we find that it was presented in the British Parliament by the Conservative Member of Parliament John Major on 22nd July 1991, with the aim of increasing the quality of public services and publicizing the commitments of fulfilling the needs and expectations of the citizens.

After this, the White Book on the Citizens’ Charters¹ was published in Great Britain. Among other aspects, this document included the 7 basic principles of the provision of the public service: setting agreements on quality, transparency, information availability, the option and possibility to choose, non-discrimination, accessibility, suggestions and claims. In 1998, the Labor British Government then reevaluated the Charter in the

1 http://news.bbc.co.uk/onthisday/hi/dates/stories/july/22/newsid_2516000/2516139.stm (accessed 30 March 2015.) <http://publications.parliament.uk/pa/cm200708/cmselect/cmpublicadm/411/41105.htm> (accessed 30 March 2015.)

program “Service First: The New Charter Program”, whereby they maintained its philosophy and, adding to the elements of the previous program, established six standards for service on a governmental department and agency level:

- Responding to letters quickly and clearly. Each department and agency shall establish a set period of time in which to answer these letters and shall publish its achievements in relation to this goal.
- If a citizen has arranged a personal meeting, they shall be seen within a maximum of 10 minutes of the arranged meeting time.
- Offering clear and direct information about the services provided and providing, at the very least, a telephone number for future arrangements.
- Contacting citizens regularly about the services on offer to them, and giving them information about the results.
- Having a complaints procedure and providing information about it when asked.
- Doing all that is possible, within reason, to put the services at the disposal of everyone, including those with special needs.

With the time, this practise arrived in the USA (*Putting the American People First*, 1993), Canada (*Getting Government Right*, 1993), Belgium (*Charte de l'utilisateur des services publiques*, 1993), Spain (RD 1259/1999, de 16 de julio, por el que se regulan las cartas de servicios y los premios de calidad en la AGE), Ireland (*Delivering Better Government*, 2000) and Sweden (*Service dialogue Pilot Projet*, 2001).

This phenomenon is now spread through the vast majority of EU countries as well as through many of the countries of which the international community is composed.

In Spain, the General State Administration (Administración General del Estado, AGE) has 342 charters, 324 out of which are conventional and 18 of which are electronic. Of these letters, only 220 (64%) have been updated in the established legal deadline of 3 years².

The Ministry of the Interior has 10 charters, 7 conventional ones and 3 electronic ones. The Guardia Civil has one conventional charter and one electronic charter, which will be discussed in greater detail later³.

If we analyze what happens in other organizations, according to the data published by the Spanish Evaluation for Quality of Service Agency (Fundación para los Compromisos por la Calidad), the number of charters studied by the general report *Barómetro de Cartas* published in 2013 was 890, 630 of which concerned the autonomous regions of Spain, and 269 of which concerned the large cities. Among the regions, we should highlight Andalucía and La Rioja with more than 80 charters. Among the cities, we should mention Gijón and Madrid with more than 40⁴.

2 AEVAL. Monitoring report of the Ministries' activities in relation to the General Framework Programs for the Improvement of the Quality of the General State Administration in 2012. 1st edition: 2014

3 MINISTRY OF THE INTERIOR (2014). Service Charter: www.interior.gob.es/web/servicios-al-ciudadano/carta_de_servicios (accessed 26 May 2014.)

4 FUNDACIÓN PARA LOS COMPROMISOS DE CALIDAD. Barómetro de Cartas ciudadanas 2012 – De ciudades y Comunidades Autónomas y Grandes Ciudades de España. 1st edition: 2013.

If we put together the data from AEVAL with that from the Foundation and we take into account the fact that those studies do not include all of the charters in this field, the combined group of public administration Service Charters would reach a figure close to 1,300, a number which demonstrates the effort of the Spanish Public Administration in this area in more absolute terms.

It is at this point that we should ask ourselves why the Guardia Civil, as with 1,800 other Spanish public organizations, has decided to make its service charter public.

The answer is very simple. Our Institute has always been concerned with issues related to Quality. Since 1999 – the year in which Royal Decree 1259/1999 was passed on 16th July, a system of regulation for the Service Charters and the Awards for Quality in the General Administration of the State – different actions have been carried out:

- Adoption of the Service Charter and the Electronic Service Charter.
- The development and implementation within the Officers Academy of a Quality Management System and its certification in 2010 by the Chamber of Commerce in Madrid in the model specified by the norm UNE-EN ISO 9001:2008, making it the first Guardia Civil center to hold this certification in all their activities.
- Launch of the Quality System in the Guardia Civil Forensics Unit (Laboratorio Central y de Zona y Comandancia).
- Steps taken to begin the accreditation process for the Special Training Center as a Center of Excellency within the European Union, in order to achieve EFQM certification by 2016.
- Incorporation of the concept of Quality in Education, specifically in the advanced courses of economic and technical management, essential training tools for the promotion to Commander of the ESO.

Due to its interest in incorporating systems of Quality Management into the very heart of its institutional identity, the Guardia Civil was awarded with the following recognitions:

- The first ever Award for Good Practice in Internal Management (2001), for: “Improvements in the Service of Weapons Confiscation”.
- The Award for Good Practice in the Internal Management (in its third year in 2003), for: “Electronic elections to the Staff Advisory Council and implementation of the electronic signature in the Guardia Civil”.
- The Award for Good Practice in Internal Management (in its fifth year in 2006), for the practice “Inclusion and integration plan for newly hired civil staff”.

In addition, and now in more general terms, when developing a quality policy in the center of the organization the following options can be chosen:

- The establishment of a model of accreditation through the fulfillment of certain requirements or standards affecting different areas of the organization,
- The adoption of a quality management system based on existing internationally recognized models (ISO 9001:2000),

- The institutionalization of practices of business management excellence or good administration through administrative evaluation, using some models (EFQM and CAF) as a basis for reference or,
- The drafting of service charters.

The choice of the service charters is a response to a decision based on weighing the costs in relation to the potential benefits. Obviously, the service charters allow, at a relatively low cost, for the implementation of improvement measures which result in an important benefit for the citizen in terms of the quality of the service provided. Furthermore, for reasons which will be presented afterwards, the charters permit the establishment of bridges of communication with the citizen, giving them joint responsibility in public management.

Before going on, it first would be beneficial to define a group of concepts that will appear throughout the article⁵:

- Expectations: quality of the service that the citizens expect according to their needs, previous experiences and wishes.
- Indicators of success: data or group of data which helps to objectively measure the evolution of a process or activity.
- Commitment: the obligation assumed by an organization in the provision of a service.
- Service: the result of carrying out a generally non-tangible activity on the part of an organization for the benefit of the citizens.
- Relief measure: action planned by the organization in order to excuse, apologize or repair the failure to fulfill an agreement.

2. WHAT DOES A SERVICE CHARTER CONSIST OF?

A Service Charter can be defined in a positive sense as well as in a negative sense. Let us have a look at each one of the definitions.

Starting with the definition in a positive sense, according to UNE standard 93200:2008 for *Requirements of services charters* (Norma UNE 93200:2008 *Requisitos de las cartas de servicios*), the charter is “*a written document through which the organizations publically inform their users about the services that provide and about their commitments to quality in providing them, as well as about the rights and obligations that assist them*”.

In the sphere of the General State Administration, and in agreement with Royal decree RD 951/2005 of 29th July, in which the general framework (that we will mention later on) for the improvement of the quality in the General State Administration is established, the service charters are “*documents that are an instrument through which the various bodies, agencies and entities of the Administration inform the citizens and users about the services assigned to them, about the rights that assist them in relation*”.

5 AENOR. Norm UNE 93200:2008. Services Charter. Requirements. April 2008.

to those services and about the commitments to quality made when providing them". These are known as the conventional charters which can refer to the group of services of an organization, the services which various bodies provide, or those which specific bodies or agencies provide. The electronic charters refer to the provision of operative services which citizens access through electronic means.

From here we can already pick out three elements central to a charter of this type: the services, the rights and the commitments. Moreover, from the definitions we can also deduce four important characteristics:

- They are focused on the citizens,
- They manage their expectations,
- They measure the results of the public management and,
- They allow for the introduction of improvement processes.

It is possible to say that a service charter is a working tool created with the aim of establishing commitments and of boosting the management of expectations through communication with those people who receive the service. In this sense, these charters are one of the most common methods for the initiation and development of the Quality Management used by public institutions.

In agreement with article 4 of Law 6/1997 of 14th April, about the Organization and Functioning of the General State Administration (the *LOFAGE* Law), which regards the concept of service to the citizens, the service charters cover three aspects:

- Firstly, facilitating the citizens the exercise of their rights, telling them what is available to them, and giving them a quick, overall vision of the provided service, as well as of the commitment linked to this service and how to access it.
- Secondly, fostering continuous improvement in quality, informing managers of the quality of service reached in comparison to the quality which was expected, thus allowing them to adopt improvement measures to correct any deviations;
- Thirdly, clarifying the managers' responsibilities in terms of citizen satisfaction, through publicizing the results achieved.

In this sense, it is important to remark that, when fixing the commitments, the service charter has a double aspect:

- On the one hand, it is an excellent communication tool which allows citizens to know the Institution's expectations and what they can claim, clearly establishing the extent to which the organization will go in the provision of their services, adding a level of transparency about how the organization responds to the citizen.
- On the other hand, through gathering information on the results, it becomes an excellent tool for change as well as for continuous improvement.

Moreover, and as an aspect linked with the above-mentioned process of continuous improvement, the charter obliges us as an organization to value what we do, how we do it, if we are doing it as well as we thought and how we could improve upon how we do it. What is more, when elaborating the charter, we should be conscious of the

standards to which we are working, which objectives can be reached and how far our commitment with the citizens can go. Therefore, this generates a reflection process around the provision of the service that is extremely enriching.

From a corporate communication point of view, the charter creates the understanding that services are activity processes which lead to a specific result, a service on which we are evaluated as an organization and on which our public image and reputation depend. In this area, the charter represents an excellent marketing tool that enables communication with the citizen.

Aside from what we have already mentioned, it should be noted that the service charters not only inform the citizen, but they also place the citizen into the center of their field of activity. Through the provision of services which correspond to citizens' needs and demands, the citizen becomes a participant in which public policies are applied. In this way, the citizen can interact with the administration; by indicating those aspects with which they are in disagreement, or by proposing how bad practices can be corrected, etc. Thus, the service charter is not only a means of information but it also becomes a channel through which the citizen not only *can*, but also *should* (in a responsible manner) ask the administration to improve on their provision of services.

In other words, the service charter is a bridge between the administration, which seeks to get closer to the citizen, and to be receptive and committed, and the citizen, who should make an effort to demand what that administration should be doing with the funds which come from the citizens' taxes. In this sense, the charter is an exercise in mutual responsibility in the management of public affairs, where the administration is not the only one whose duty it is to regulate anymore; it is also the duty of the citizen to help regulate society through participation, and through making complaints and suggestions. In short, the 21st Century citizen has greater empowerment, but they are also expected to have a greater involvement in the management of public affairs.

And it is in the field of the new administration of the 21st Century that mutual responsibility requires the participation of both parties in analyzing, valuing and improving the provided services. This is a new vision of administration which is favored by the use of new technologies, so that the cost for the citizen to participate in the management of public affairs is almost nothing. It only requires his/her interest, some time and dedication, the desire not to let things slip by, and to be demanding about how these services are provided. With the contribution of the citizens, we can improve the governing processes and create authentically intelligent organizations.

"The aim is to ensure that our Administrations become truly intelligent organizations, able to generate value for the citizens, increasing and improving their possibilities in life and favoring the sustainable development of society."

Commitment letter to the quality of the public Administrations. Spanish Public Evaluation and Services Quality Agency (Agencia Estatal para la Evaluación de las Políticas Públicas y la Calidad, AEVAL). October 2009.

As pointed out by the Public Agency for the Evaluation of Public and Quality Policies (Agencia Estatal para la Evaluación de las Políticas Públicas y la Calidad, AEVAL), in order for the service charters to be useful for the citizens, they should be disseminated and made accessible online and in hard copies. Therefore, a suitable diffusion plan is necessary. A charter that is not widely published simply does not exist. However, we

should rethink whether diffusion in the current state of affairs, what with social concerns about climate change, the accelerated consumption of natural resources, the concept of 'less is more', and so on, should make the public actors re-think new formulas based on a form of e-administration that could be environmentally sustainable and that contribute to the eradication of the use of paper, in line with the 2011-2015 Strategy of the Avanza 2 Plan (thanks to the digitalization of the procedures, the inclusion of the digital signature and the creation of electronic registers). This, ultimately, also constitutes an improvement in the provision of the service.

Moreover, the commitments should be linked with specific procedures that could be easy to identify. Lastly, we should make sure that a strict monitoring be carried out on the observance of the commitments and the adoption of measures necessary to ensure compliance and awareness of the citizens.

Moving on to an analysis of the charter in a negative sense, a charter is not a mere catalog of services, nor a mere declaration of intentions and neither is it a charter of rights and obligations. On this premise, the AEVAL openly criticizes that some organisms have charters conceived in a great way from an organic perspective, reflecting the commitments of an organization regarding all their services and provisions, without getting into detail about the procedures that link the organization with the citizens.

Therefore, taking into account all that has been said, we should conclude by saying that a service charter, if we conform to its definition, is a document that displays the commitments of the administration towards the citizen and is the basis upon which the citizen is allowed to demand the compliance of the administration. It is an agreement that if breached allows responsibilities to be demanded of the managers. However, if we try to get deeper into its comprehension and understanding from the point of view of administration or a manager, we will end by saying that a services charter is a tool that helps in the implementation of a quality management system in the center of an organization and that, therefore, it should be part of their strategy. At this point, the prospective, strategy and quality systems might interlink as one engine of true transformation of the administration that puts the citizens – who are increasingly more informed, prepared and demanding when it comes to the management of the public affairs – first.

3. THE FIRST CONVENTIONAL SERVICE CHARTER OF THE GUARDIA CIVIL

The first Service Charter was introduced to the Guardia Civil on May 5th 2003 by way of the resolution of the sub-secretary of the Interior of February 7th, invoking the Royal Decree 1259/1999 of July 16th, by which the service charters and the quality awards in the General State Administration are regulated.

The Royal Decree 1259/1999, inspired in the principle of continuous improvement of the public services according to the citizens' demands, enables transparency and information, participation and enquiry of the users and the responsibility of the public managers. To that end, the decree was divided in three parts: service charters, evaluation of the quality of the services (through self-evaluations and external evaluations) and awards given for best practices and for quality in the General State Administration.

It is important to note that there is no article in the Royal Decree wherein it is expressed that the public organs and organisms of the General State Administration are

forced to write a letter, which implies that their involvement is voluntary. In any event, in article 5 section 2 the mandate addressed to the sub-secretaries of each Ministry is alluded to in order to ensure that each Body and Organism of the public administration draft their service charter, a mandate that was not passed on to the Guardia Civil in the form of an executive order.

In the same vein, the Guardia Civil – within the framework of the willingness to contribute to the improvement of the services provided to citizens – joined the movement in favor of quality and drew up their Service Charter.

The structure and content of the charter has three major sections:

- General and legal matters
- Commitments to quality and
- Points of complementary nature.

Thus, general and legal data include the identification of the Body responsible for the charter (in our case, the Technical Cabinet), the provided services, the rights of the citizens, the ways of participation or collaboration of the citizens in the improvement of the services, the regulations of governance and access to the book of complaints and suggestions.

In the section on quality commitments, the quality levels that are offered are laid out as:

- Planned procedure or service provision deadlines
- Communication and information mechanisms (general or personalized) and
- Open hours and information hubs for the public.

Lastly, but by no means less important, with a complementary nature we find the postal addresses, telephone numbers and email addresses of every department where each of the services is provided, clearly indicating how to get there and, where necessary, the means of transport needed. There is also information about the postal address, telephone number and email address of the responsible unit of the charter and, lastly, any other interesting information regarding the services provided.

Looking at the information gathered in the services charter from a generalized perspective, we will start with the detail of how much it appears in the informational document. Once we have indicated the general services of the Guardia Civil and detailed its functions, we will highlight those services that are considered of *administrative* or *informative* character that are provided to citizens:

- Information about facts or events that affect public security.
- Information about legal or protective measures adopted or recommended to citizens in order to guarantee their security.
- Granting, modification and expiration of authorizations related to production, circulation and possession of weapons and explosives.
- Information about access into the Guardia Civil and the selective processes.

As can be seen, not all services were discussed, rather those that were of “administrative or informative” character.

Regarding the commitments, the following were included:

- Permanent citizen assistance, taking care of their needs 24 hours a day, going to the required place, provided help can be given and a physical presence is necessary, and appearing promptly in case of an urgent necessity.
- Attention to citizens in general and victims of crimes in particular, which can be specialized whenever it is necessary, ensuring their privacy at all times, providing all the help and information they require and acting quickly in the collection of the complaint and further paperwork. Information about the status and outcome of the investigations carried out with a view to clarifying the facts set out in the allegations.
- Crime prevention based on a closer relationship between the citizen and the service and more involvement on behalf of the citizen where information and collaboration are concerned, in this way assisting and clarifying as a priority those crimes that cause more concern or pose more risk for the population.
- Special protection of the most vulnerable people: elderly people, minors, women and families, as well as private homes.
- Prevention of risk for the citizens in general and protection of the environment.
- Protection against the organized crime threats and other serious crimes that can affect collective security (drug dealing, terrorism, illegal trafficking with humans or goods, corruption, fraud and other emerging crimes).
- Informing citizens about the security plans drawn up on national, autonomous, provincial, regional and local levels, and informing regularly about the security situation, security measures recommended to the population and reports about the results achieved.

As we can see, in the light of the considerations made by the AEVAL (Spanish Evaluation and Services Quality Agency), these commitments are closer to the services definition than to commitments themselves. There is still a lack of fixed standards upon the basis of which we can establish a firm and real commitment with citizens.

In connection with the indicators, we find the following:

- Average response time since the reception of a call.
- Average waiting time and duration of the criminal complaint paperwork.
- Variation of the year-on-year rate for known and resolved crimes.
- Number and circumstances of the visits, interviews and information regarding citizens.
- Study and evaluation of collective security threats.
- Citizens’ complaints and suggestions, and adopted measures.

According to the Royal Decree 1259/1999 only the establishment of indicators for “quality evaluation” was required. As we will see, this situation changed with the new Royal Decree 951/2005, which not only demands “quality levels or standards”, but also indicators “especially” linked to their own assessment, obliging us to design a different charter.

Nonetheless, in 2009, the Guardia Civil sent a follow-up table of the services charter in which it gave an account of the indicators’ compliance, its deviation, the causes that provoked that deviation and which were the measures to adopt in order to obtain the provision of the service under the conditions *committed* to the citizens.

4. THE NEW CONVENTIONAL SERVICE CHARTER OF THE GUARDIA CIVIL

First, the main change introduced by the Royal Decree 951/2005 was the coordinated and synergic integration of a series of basic programs for the improvement of quality, going beyond the simple consideration of the three aspects dealt with in the Royal Decree 1259/1999 (charters, organizations’ quality evaluation and awards for best practices and for quality in General Government Administration). Therefore, the Royal Decree includes the following programs:

- Analysis of the claim and evaluation of the user’s satisfaction.
- Service charters.
- Complaints and suggestions.
- Organizations’ quality evaluation.
- Exploration.
- Public services’ quality observatory.

Regarding the service charter, the main new points were:

- Necessity of having indicators linked to the commitments.
- Establishment correction measures in case of the breach of commitments, without possibility of taking on financial liability.
- Possibility of verifying or certifying the services charter.
- Introduction of measures that ensure gender equality.
- State whether management “normalized” systems are used (in terms of quality, environment or occupational risks prevention).

Be that as it may, the update of the chart, obligatory and pending since 2006, would make the incorporation of prescriptions of the new Royal Decree necessary. It was also necessary to establish commitments that responded to more measurable standards, according to the work methodology dictated by AEVAL. In addition, it was necessary to provide the commitments with their corresponding indicators, in order to be able to make a truth and credible assessment about its compliance. Another fundamental element was the possibility of permitting the citizens to petition for explanations regarding the breaches of “correction” applications of the deviations.

In this field we especially have to take into account an important entity previously mentioned: the Spanish Evaluation and Services Quality Agency (AEVAL), whose bylaw is regulated by the Royal Decree 1418/2006 of December 1st, that which substituted the General Secretariat for the Public Administration in these specific tasks.

According to RD 951/2005, the AEVAL is configured as a pre-eminent organism in the process regarding the approval of the letters. Therefore, it is responsible for:

- Establishing the methodological directives for its elaboration. The approved for use at present is the “Guide for the development of the Service Charters”, 2006 edition, revised and updated in 2010.
- Informing the Secretariat of the Ministry (Subsecretaría del Ministerio, in Spanish) mandatorily and prior to the charter approval.
- Certifying the service charters, when requested to do so.
- Following up on the compliance rate of the charters at a global level.

If we take a look at the latest follow-up table for the current charter, of 2009, we can appreciate how a series of indicators are available, the variation of which is analyzed regarding the previous year’s data, and not in respect of the standard fixed on the basis of the services that they provide and the possibility of reaching them. In this chart, the commitment is established, for example “the permanent assistance to citizens by tending to their requests 24 hours a day”, the indicator of its 8.08% deviation “number of service hours”, the cause is provided as “the increase in 3,000 agents” and as an improvement measure of the associated service, “consolidate the optimization of human resources”.

Given the regulation changes, mainly with respect to the necessity to consolidate a direct relation between the commitment and the indicator, the Guardia Civil stopped providing information for monitoring in 2010.

According to the provisions of the new Royal Decree, and especially in terms of the necessity to update the charter when circumstances so require, and in any case, each 3 year period saw the new charter started to be written from a basis of the constitution of a work team made up by directives of the organization, the analysis of the annual report content of the Personnel and Security Services Inspection of the Secretary of Homeland Security, about complaints and suggestions and the integration of “border officials”, by way of the presence of the Information and Citizen Assistance Office, in the ad hoc constituted group.

In the completed works, it could be observed how the old vice of commitments lacking concrete objectives is still around, which made them more similar to what would be the service description and which even incorporated own issues of internal management that had nothing to do with the service demanded by the citizen, that were references to savings and energetic efficiency.

In 2010, a charter draft was presented to the AEVAL, as a step towards its approval. In the AEVAL report -Service Quality Department⁶, which submits the charter’s update

6 AEVAL (2010). Insights to the updated proposal of the services charter of the Directorate General of the Guardia Civil (Interior Ministry)

proposal by the Directorate General of the Guardia Civil, the following assessments stand out:

- The need for establishing commitments, which do not clash with legal obligations.
- That the commitments are concrete and quantifiable, in other words: measurable, each of which having at least one associate indicator.
- The intentions, the willingness to correctly fulfill a service, cannot be seen as a commitment.
- No inclusion of internal management commitments.
- Percentages have to be used for the establishment of indicators.
- In short, a thorough revision of commitments and indicators had to be executed.

In order to solve the situation, following the AEVAL methodology and continuing with the established mechanism (work group, IPPS, OIAC reports) in 2011, works of the charter are resumed from where they were previously left off. The issue responds to a very simple approach: establishing commitments as well as indicators that are both objective-oriented and measurable.

The Technical Cabinet is in charge of group leadership. Thus, according to the PRE Order 422/2013 of March 15th, the Cabinet takes the reins on the economic planning process coordination and budgeting and management of the General Directorate quality.

For the methodological development of the Works, the published Guide was followed by the AEVAL in 2006. The most important milestones are:

- constitution of the work group,
- establishment of quality commitments and indicators,
- establishment of correctional measures,
- drafting of the charter, external and internal communication plans and, lastly, monitoring and updating its plan.

Further on, the most innovative aspects of the new charter focused on services, commitments and indicators are outlined. In the “general and legal information” paragraph, the services provided, as well as the procedures and the social benefits granted by the organization, will be mentioned.

When the projects commenced, we considered the possibility of focusing on the services from an informative or administrative point of view, or with a view to extending them to the services as a whole that are provided by the Institution. The chosen option was the latter, characterized by the following factors:

- **Personalized and close assistance**, thanks to having a network of 2,400 barracks and other official facilities dispersed across the nation.
- **Urgent telephone assistance, via the 062 number**, to provide help and a

prompt response in risk situations or others harmful to life, physical integrity of one's person or the legitimate possession of goods.

- **Electronic assistance**, in the search of the optimization of service providing through the use of modern technologies. It is specifically alluded to in the Electronic Services Charter.
- **Collective's assistance**, with the intention of correctly directing the citizens' concerns.
- **General Protection**, with the aim that the citizen is and feels safe, in the context of civil security as well as road, maritime, environmental, borders, ports, and airport security, both within and outside of Spain.
- **Specific protection**, in relation to those criminal actions toward which the citizens are especially sensitized because of its transcendence and seriousness, such as terrorism, organized crime, corruption, protection of the most vulnerable groups, especially victims of gender and domestic violence.
- **Report command for criminal complaints**, equally for those in office and for the citizen, for those cases in which we acquire the condition of plaintiff, victim or injured as a result of the suffering caused by the criminal or imprudent action.
- **Report of administrative records**, also in cases in which the citizen has the condition of applicant.
- **Granting of accreditations, recognitions, authorizations and licenses conferral** in terms of weapons, explosives, pyrotechnic articles and bullets and private security, within the Guardia Civil competences.
- **Receipt of inquiries, complaints, suggestions and congratulations.**
- **General information** about the competences missions and functions of the Guardia Civil.
- **Specific information** about the admission and training of the Guardia Civil, aimed for those citizens that have the intention of joining the Institution.
- **Dissemination of the security and knowledge culture** through traditional means, such as museums, historic documentation collections or its libraries and publications, or through informative or educational conferences in which citizen participation is possible or, lastly, through its Internet website and social networks presences.

In the work group it was confirmed that which cannot be measured cannot be managed either, and that it is difficult to improve if we do not work with objective parameters which allow us to know the level of quality of the service offered to the citizen, which is where there is room for possible deviations regarding those standards needed in order to finally adopt the necessary measures that allow to correct those deviations in such a way that what we offer the citizen is the closest thing manageable to his/her expectations.

On that premise and focused on the key factor in terms of quality– those that the group thought in theory would provide a greater satisfaction level-, two types of commitments were established: some of high level generalist character, wherein a relationship is

established between the citizens and its interest groups, with the purpose of reaching security levels as high as possible, and others are addressed directly to the services users who receive the benefits that the Guardia Civil offers.

In this regard, the commitments the work group agreed to take under its wing of were:

1. With the citizens as a whole and their interest group (general interest associations, political parties, syndicates, parliamentary groups, etc.):

- **Maintain** our territorial deployment as the highest expression of the proximity to the citizen. In particular, the commitment reaches the maintenance of 215 official facilities that have a citizen care area opened 24 hours a day, 7 days a week.

In www.guardiacivil.es/es/institucional/directorio a file in .csv format is available and downloadable with all the 24 hours a day, 7 days a week open facilities listed.

- **Maintain** an average of 20 daily meetings with social collectives or institutions about security matters,
- **Strengthen** the preventive service as a main tool for citizens' protection, carrying out more than 4,000 patrol services.
- **Improve** preventive services in terms of road safety, therefore contributing to a better protection of all road users and carrying out more than 5,000,000 breathalyzer tests for alcohol levels and drug tests per year.
- **Maintain** the number of humanitarian services as one of the main expressions of the distinguished character of the Guardia Civil, assisting the citizen when s/he so requires, with an annual average of 145,000 aids and rescues.
- **Maintain** the number of 276 Specialized Attention Points that the Guardia Civil establishes in order to deal with the cases which affect the most vulnerable collectives, such as the criminal offences that take place in a family setting, gender violence, youth criminality, human trafficking aimed at sexual exploitation and child pornography on the Internet.

In www.guardiacivil.es/es/institucional/directorio you can find a downloadable file in .csv format with the locations of the Specialized Attention Points.

- **Maintain** the 92,000 annual services that are provided in the educational centers and leisure areas frequented by young people in order to prevent drug selling and its public consumption.
- **Take** a minimum of 8,000 annual informative measures with respect to security aimed at citizens.

2. With the service user:

- **Answer the** complaints, suggestions and congratulations received in a maximum period of 18 working days since its arrival at the concerned Unit.
- **A written answer** in less than 5 working days, about the requirements that were suggested via Information and Assistance to the Citizen about the competences, missions and functions of the Guardia Civil. If the enquiry refers to its participation in the selective process or about the training to enter the Guardia Civil and

was made by telephone, it will be answered there and then.

- **Conduct** a minimum of 2 interviews with and **Make 2** visits to the gender violence victims during the investigations and proceedings that are underway to guarantee their safety.

For the appropriate quality level monitoring of the services that the Guardia Civil provides to the citizen, the UNE Norm 66175 of October 2003 entitled *Guide for the indicators systems implementation* was taken into account so that we would use indicators which were easy to establish, maintain, use and which provided real time information. We also took into account the reliability of the information gathering process and its use, as well as the value they added. As we will see later, commitments and their indicators were rejected because of the cost that the obtaining of the information implied. Therefore, we tried to coordinate them, as far as possible, with those that were already available in the Strategic Management System.

Ultimately, the following **indicators** were adopted:

1. Those linked to commitments to citizens and their interest groups:
 - **Number** of official facilities that have a citizen attention area open 24 hours a day, 7 days a week.
 - **Daily average** of the meetings held with social collectives or institutions on security matters.
 - **Daily average** of the patrol services carried out to protect citizens.
 - **Annual Number** of breathalyzer tests for alcohol blood-levels and drugs levels carried out under road safety duties.
 - **Annual Number** of aid and rescues in situations of emergency or need.
 - **Number** of existing Special Attention Points to meet the needs of the most vulnerable collectives.
 - **Annual Number** of surveillance services in schools and leisure areas frequented by young people in order to prevent drug dealing and its consumption in public.
 - **Annual Number** of annual informative actions covering the subject matter of security regarding the citizens.
2. Those linked to the commitments to the person who receives the services:
 - **Percentage** of complaints, suggestions and congratulations answered in a maximum period of 18 working days.
 - **Percentage** of written answers by the Information and Attention to the Citizen Office in a period of less than 5 working days.
 - **Average** of the interviews with and visits to gender violence victims during the open investigations and proceedings carried out to guarantee their security.

Regarding the commitments and indicators' monitoring, and given the importance of providing results to citizens which allows them to control the performance of the

Guardia Civil, a formal commitment was adopted by which in February of each year, the result attained in the most recent financial year end, as well as details of previous years would be made available on the Internet webpage within the charter (2015-2018) (www.guardiacivil.es).

We also want to highlight that during the new service charter creation process we took into account a non mandatory preliminary report from the AEVAL, dated October 2014, entitled the *Adaptation of the draft of the services charter to the Guide for the development of the service charters*, which suggests the need for instituting two types of commitments: one addressing the citizens and another addressing the users, a solution that has been incorporated into previous dealings.

The AEVAL has discussed the difficulty of incorporating concrete commitments of a generalist nature that link the Guardia Civil with the citizens and the interest groups, and gave this solution to be able to continue with the creation and publication of the charter. This is, without a doubt, a relevant fact if we take into account the peculiarity of the services that the Guardia Civil provides, so varying, as some are administrative, some are of criminal nature, some are merely informative and others are linked to the culture of security. All of them demonstrate a great difficulty when it comes to defining the relationship with the user and the commitments in this regard.

In respect of the commitments of the users, in the context of a willingness toward continuous improvement, we are conscious that we will have to make progress in relation to two important parameters; response time of the *emergency services and waiting time in the official facilities in order to be seen to for the purpose of the processing paperwork*.

Regarding these indicators, the work group has been analyzing them thoroughly. With regard to response times, the first thing that would have to be defined is what is understood by emergency (for example, one definition could be those cases worthy of special mention in which a third party causes the death of another person or makes a serious threat to his/her life or his/her physical integrity or to the possession of his/her goods). From there, we would proceed to divide the response time into four sections that have to be known in order to make a time estimate vis-à-vis the threat and establish the level of commitment:

- Time since the user calls until the operator answers.
- Time since the operator answers until communication is established for action to be taken.
- Time since communication established until the agent arrives at the scene of the incident.
- Time since the agent arrives at the scene until the incidence is resolved.

Given the waiting time in police stations is very heterogeneous, the possibility of including a commitment to “average waiting time in attending to a citizen when making a complaint in those stations that have a 24 hours a day, 7 days a week open attention to citizen area” was explored. The work group understood that it would be a very accurate time, linked to the service that concerns citizens the most in this field, for instance, the act of making criminal or administrative complaints has greater value in themselves

than does the introduction of a set waiting-period time in police stations during the processing of paperwork for said complaint.

In the current chart, the two aforementioned commitments are not included, not because we do not know if they are required by the user (everyone cares about how much time they are going to be waiting to have their needs met) nor because we are unaware that they are two important parameters for the quality of service, but because of the fact of the need for being accountable in the fulfillment of what has been promised and truthful in the posterior publication of the results. This is to say that *we cannot promise that what cannot be measured*.

Nowadays, there are Guardia Civil Units that measure these parameters but they do not do it to the extent of with parameterization, technicality and controls; which is what these measurements are due, in other words it constitutes that which is considered necessary. Therefore, we will have to wait a little bit more until we can have access to those interesting data from the point of view of the police service management. We hope that in a future update of the charter we will be able to provide these two new commitments with standards that please the users.

By Resolution of January 16th 2015 of the Undersecretariat of the Ministry of the Interior (Subsecretaría del Ministerio del Interior, in Spanish), the update of the Services Charter of the Guardia Civil was approved, for the period 2015-2018, being published in the *Boletín Oficial del Estado* number. 24, dated on 28 January 2015. (BOE-A-2015-7213).

5. SITUATION OF SERVICE CHARTERS OF POLICE NATURE IN SPAIN

On the Internet, a tool that is revolutionizing the knowledge management in society and in organizations because of the availability of a great volume of interesting information, we can find an endless amount of Service Charters from local and autonomous police. In particular, for the preparation of this article we have located a number of 17 service charters that have been published by the police forces of the autonomous communities of Spain, as well as by the Police of the Generalitat-Mossos d'Esquadra (Barcelona) and by the Navarra Foral Police, and by the city councils such as Madrid, Alicante, Guadalajara, Segovia or Soria. Further on, we will discuss the commitments and indicators that are gathered in them and that, at some point, could be interesting in this field of consistent attending action that ought be the topic of quality undertaken in police services.

One of the commitments in which these corps get involved most often is that of response time before an emergency requirement, in some cases modulated by turning to an interventions percentage (in the x % of the cases) and in some others being limited to those in which the life or the physical integrity of the people or the legitimate possession of the goods are in danger (really urgent cases); in others, we include a second response segment, in non serious cases, the period being increased to 20 minutes. Sometimes, the times are limited owing to the fact that action is taking place either within or outside of the city. In some cases, the response varies according to the demand that materializes during the day or in nighttime.

"Immediate intervention in emergencies in 5 minutes maximum in at least 90% of the interventions".

Local Police of Guadalajara.

“Answering the calls by urgent service, at any point in the municipal area, outside of the city, with arrival at the scene in a maximum of 12 minutes (understanding as such all those cases in which the integrity of the people is in danger)”.

Local Police of Castellón.

It also has been verified that the commitment to assist the citizen in the police stations is in a period that ranges between 3 and 7 minutes.

“Attention and information to the citizen commitment in a maximum waiting time of three minutes in all our units.”

Local Police of Alcobendas⁷.

“Assisting the citizen in the Local Police’s facilities in a maximum time of 7 minutes”.

Local Police of Soria.

In the sphere of telephonic urgent attention, the response time for phone calls has been used, with periods of maximum waiting time at 10 seconds, in 80% of the cases or a minimum satisfaction index. Maximum times of resources activation have also been established (90 seconds) since the moment of reception of the urgent call in the Control Centre.

“Answer the phone calls with a maximum delay of 10 seconds in the 80 % of the cases”.

Local Police of Leganés.

In the field of personal attention, an interesting element that had also been used in the satisfaction surveys, establishing an index based on a percentage to measure the perception level of the citizens towards the attention provided by the police body. Nevertheless, the appeal to the number of complaints received because of the personal treatment is still being produced.

“Conscientious attention and treatment in all the performances that affect citizens with an 85% satisfaction index with special support to the victims who require help, assessment about the processes to follow and information about the available municipal services”.

Local Police of Valladolid.

Because of their facility in attainment as an indicator, there is a very broad resource to measure the prevention and the security according to the annual number of patrol hours that are provided, that some police even multi-zoned (proximity, schools, industrial estates,...). In this field, they also use the number of controls carried out.

“We prevent and improve security by way of a 100,000 patrol hours’ commitment quarterly”.

Local Police of Alicante.

Special treatment dedicated in some cases to the most vulnerable groups, such as: minors, female victims of gender violence and elderly people, establishing in some cases, response commitments of one hour, according to the minors who are in danger of abandonment.

7 This commitment disappears in the update of its new Charter. Specifically, it focuses on an immediate attention by means of emergency telephones and on the public roads, present in the areas with largest passage of people for the attention to victims. Waiting times in the official facilities have not been mentioned.

“Assist, communicate and manage the return of the abandoned minors to the parents, tutors or legal representatives or to the pertinent Institutions as fast as possible and in all cases, in an hour at most”.

Policía de la Generalitat-Mossos d’Esquadra.

Regarding the answering periods to suggestions, congratulations and complaints, they surpass widely those of the State General Management, which takes up to 30 days in some cases.

In terms of criminal complaints, on some occasions we have turned to the establishment of a first contact with the citizen in a maximum period of 72 hours to inform him/her about his application and even the submission of a judicial inquiry in a period of 15 days since his/her request.

“Get in touch with the complainant citizen in a maximum period of 72 hours, since the lodging of the complaint providing information about his/her application”.

Foral Police of Navarra.

It can be seen how efforts are included in some informative or training performances for the benefit of the community (on education and road safety, in schools, old folks homes). In addition, regular contact with interest groups appears to keep them informed on security matters.

“Making at least 150 performances for the promotion of road education to groups in particular”.

Local Police of Melilla.

In terms of Traffic control and Road Safety, there is an important role carried out in obtaining the number of preventive alcohol tests, in some cases even measured in terms of percentage of controls to the population of a municipal area. In others, the concept of maximum response time is transferred to this field. And the number of road safety campaigns carried out during the year is also included in this paragraph.

“Carry out preventive alcohol tests, in order to test at least 4% of the registered population in the City of Madrid”.

Local Police of Madrid.

Some police members presented their concerns about the need for communicating with this organism on some matters which are not from its competence in a maximum period of 24-72 hours, depending on the urgency, regarding imperfections in the traffic routes, presence of dead animals, etc.

In view of these charters, the sensation we get is that there is a willingness to provide a quality service to citizens but that a verified monitoring of the indicators does not seem to be made, or are at least not available on the internet, a means that nowadays facilitates that the citizen’s knowledge on the level of compliance reached according to the commitment made by the Administration authorities.

It also can be observed that the organisms are not committed in some charters. Therefore, they do not incorporate quality standards in the commitments that can be measured afterwards against the corresponding indicators. Another defect that can be recognized is that some commitments are more characteristic of internal management record charts. Therefore, the number of training hours, that has direct implications for the quality of assistance provided to the citizen, has nothing

to offer when it comes to the measurement of the quality of service that the citizen ultimately receives.

In brief, a good measure to implement might be establishing quality departments in the autonomous communities or from the Spanish Federation of Municipalities and Provinces, which could help police corps to define their charters – establishing model charters, although they already have guides⁸ – and help the follow-up assessment, as well as its dissemination and accreditation. It is a matter which could be debated but which, without doubt, would greatly contribute to advance the quality of services that are provided to the citizen from the police sphere.

6. THE SERVICE CHARTERS IN OUR SURROUNDING COUNTRIES

We should remember that the service charters emerged in the Anglo-Saxon world. That is why we find charters that respond to that old philosophy of accepting accountability towards the citizen for the public management that John Major mentioned in 1991, in his appearance before the British Parliament. This cornerstone is evident in the police area, given that the report presented by the British State Secretary of the Interior before the Parliament in June 1933, about the police reform in England and Wales, then raised the introduction of a quality of service concept and of a chart to increase the standards of the police service and increase the citizens' trust.

The Metropolitan Police of London has a charter that was approved in July of 2007. Entitled *Quality of Service Commitment* gathers and in its cover the motto: *the minimum standards of service you should expect whenever you contact us*.

As regards the most important commitments are: being present in emergency situations in a maximum period of 12 minutes, in accordance with what we have seen in the national charters, the commitment to answer the calls to the emergency service's number in a period of 10 seconds in 90% of cases and the rest of calls in 60 seconds and, lastly, the prospect of answering the questions about the police in a maximum period of 10 work days, independently of the communication medium chosen by the citizen. The rest of commitments do not include standards that allow measurement and control, rendering them more akin to what would be a declaration or letter of intent.

If we go to the Royal Canadian Mountain Police-Gendarmerie Royale du Canada, analogous to the Guardia Civil because of their military status, they do not have a similar document, rather they have opted for a description of the provided services and the results reached in the framework of its annual management report – in fact, the Guardia Civil adopted the strategic management model for its own management –.

Returning again to the police corps, this in a European setting, it has to be noted that the French Gendarmerie, according to Law 2002- 1094 of August 29, 2002 of Orientation and programming for the interior security (LOPSI), was equipped with a Quality Charter that they commonly used as did the National Police. Updated in 2007, this charter established the modes of reception of the public, especially hospitality, information, assistance and advice to the victims of criminal offences, for whom we have

8 FEMP. Elaboration and management of a services charter in the local Administration. Edition: January 2011.

to provide a homogeneous response at a National Police level: prompt, adapted to the situation and coherent. Therefore, this charter entitled *Accueil du Public – Assistance aux victimes (Reception of the public- Assistance to victims)*, is essentially addressed to the victims, as the center of their concerns and of its functioning. The charter is composed of 8 articles that gather the willingness to act correctly and professionally in regard of the victims. Nevertheless, it does not consider any security standard that could accord it the status of an authentic Services Charter.

Currently, apart from the previous mentioned, the French *Gendarmerie* has the new Services Charter entitled *La gendarmerie s'engage pour vous (The Gendarmerie is committed to you)*. This one does fulfill the standardization parameters which are required for a charter of this nature and it is even certified by the General Secretariat for the Modernization of the Public Action of the French Republic.

Among the main standards that this Charter gathers we find the following:

- Answering the citizens' letters in a maximum period of 3 weeks. In the case of a complex requirement that makes it impossible, an interim response of waiting notification is sent out during the delay period.
- Answering the e-mails in a maximum period of 7 days. In the case of a complex requirement that makes it impossible, an interim response of waiting notification is sent out during the delay period.
- Answering the calls in a maximum period of 20 seconds.
- Answering any complaint or suggestions related to the commitments in a maximum period of 3 weeks.

Regarding the results, both the General Inspection (equivalent to the Directory General) and the Regions (equivalent to our Zones) carry out a control regarding the victims, in terms of the quality of their reception and the monitoring of his/her dossier (investigation). The results are communicated and managed at a Regions-of-the-Gendarmerie level.

As for the Italian *Cuerpo de Carabinieri*, they do not have a document itself; at most, declarations of intent can be found, but not commitments in the sense described.

And the same happens at a continental level if we call in the Criminal Investigation Federal Office (BKA) or to the German Federal Police (BPOL); neither of which has a services charter in the sense outlined.

7. THE ELECTRONIC SERVICES CHARTER OF THE GUARDIA CIVIL

Finally, we have to analyze where the electronic services charter of the Guardia Civil stands, approved on July 25th 2012 and updated this past June 9th 2015, a charter through which we inform the citizens that we have electronic media via which we provide other types of services complementary to those of personal nature.

The services are distributed in 4 big blocks: Website, Information and Citizen Attention Office, Electronic Headquarter and Social Networks; this last is a priority in the update.

The services through the website consist of providing information of general interest to citizens about how to get to the Guardia Civil, emergency telephone information, ways to contact, what to do in case of gender violence or child abuse, complaints and suggestions, enquiries, forms to start administrative procedures, advice about security, bulletin board, press releases, civil collaboration, etc. A high valued service is included consisting of the possibility to advance the information for the report (prereport) regarding the minor offences types (theft in vehicles and of vehicules, harms, robberies...) or the loss or recuperation of documents or goods. Notwithstanding, nowadays, the posterior ratification of the complaint in a Post of the Guardia Civil is required.

The electronic complaint, or pre-report, is currently one of the ways toward developing the e-Police, which is in vogue at the moment. We try to encourage the use of new technologies in order to close the gap between administration and the citizen and facilitate by way of the complaint the obtainment of his collaboration with the police forces when faced with a committed crime or the suspicion that one could be being committed, among other activities. Thus the importance of having this type of charter that expresses the commitment to the user in order to maintain the electronic lines of communication opened 24/7, favoring intervention without the need to be present in a police station.

It should be brought to attention that the Guardia Civil has an Information and Attention to the Citizen Office, which mainly bases its activities in attention to the citizen via telephone and e-mail, answering as many enquiries and requests that are posed in relation with the services provided by the Guardia Civil. It also allows the personal formulation of complaints and suggestions and manages those that are received by email.

Regarding the website, it bases its activities mainly in the electronic register service through which and by way of the digital certification system, it makes way for as many procedures as the Guardia Civil has, as well as the filing of complaints and suggestions. In the case of complaints, they have to be carried out through the webpage of the Ministry of the Interior, which is responsible for them.

The commitments that have been acquired are related to communicating the maintenance incidents to citizens that cause the lack of malfunctioning of the website – with a minimum period of 24 hours advance warning –, to solve the errors, of content which have been detected and communicated by the users, in a period of 2 working days as to answer the complaints and suggestions that are received electronically in a period of 18 working days – since its entrance in the concerned Unit – and to post on Facebook, Twitter and Youtube a minimum of 5 Posts and 5 daily tweets and 3 weekly videos, respectively, containing relevant information. All these commitments have their correlated measurement indicators.

In the case of unfulfillment, the request for correction measures is permitted. The General Director himself will inform the claimant in writing about the causes of the unfulfillment and the adopted measures to correct the failures. Under no circumstance will give financial responsibility be brought about.

8. CONCLUSIONS

We live in a world that is constantly changing and which creates the need for adapting organizations to new climates. That adaptation not only has to respond to improvements in technology, the rise of new threats, the emergence of new procedures in

terms of criminal investigation, but also has to focus on what has been our *raison d'être*: to guarantee the security of the citizens.

In the framework of continuous improvement and in within democratic societies, the citizens take center stage as they desire participation in public management. Each four years they are called to the elections that are held at different territorial levels (State, Autonomous Community and Municipal areas) and they decide who will be their governors, in other words, the heads of the institutions. The matter does not end there. With the tool of the Services Charter they are provided with the possibility of continuing to participate in that management and consequently they become aware of which are the commitments of the Administration, how they are going to be measured and which are the channels that they have available to them to demand responsibility from the public managers.

We have seen how this phenomenon of the Services Charters emerged in the Anglosaxon world, circa 1992, and how it has spread since then to the whole world and more specifically to Spain where we have approximately 1,300. The Guardia Civil joined this process voluntarily by approving its first charter in 2003.

As a consequence of the continuous change and of the new regulation on the subject, the Guardia Civil has renewed its commitment with the update of its Services Charter, in January 2015, and of its Electronic Services Charter, in June of the same year, obliging itself to be rigorous in its monitoring and fulfillment. Nevertheless, it can be confirmed at this stage that it will not be its last charter. When it is possible, when the economic resources and technology allow it to be so, the Instituto will increase its level of exertion and commitment to its citizens, adding more commitments to the current ones relating to response times that so much concern the users across the board.

Taking into account the vocation of the service to citizens, with the new Services Charter we hope to make our contribution to continue fulfilling our Mission, which means "guaranteeing public security and assisting the citizens, in an excellent and direct fashion, in this way contributing to the welfare of society".

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QUALITY IN THE CRIMINALISTICS SERVICE OF THE GUARDIA CIVIL

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CRIMINALISTICS SERVICE OF THE GUARDIA CIVIL

ABSTRACT

The Criminalistic Service was one of the first Units selected by the Spanish Civil Guard for the initial implementation of quality regulation in the Institution. This and the consolidation of the DNA laboratory happened at the same time, and that is why the tests made by this new criminalistic discipline were selected to be accredited as a first aim. The accreditation was achieved in 2003, being the first one of its kind in Spain. Since then, the Criminalistics Service has achieved accreditation for 50% of its expert areas, in which grants it a leading position in that matter among equivalent Spanish laboratories. Besides, the Criminalistics Service leads the Working Group number 3 of the National Technical Committee number 197, which monitors the works of the European Committee for Normalization number 419 on “Forensic science processes”. This Committee is currently developing the first European forensic guidelines in history. The Criminalistics Service represents AENOR in the above-mentioned Committee.

Keywords: quality regulations in criminalistics, normalization in criminalistics, conclusions of forensic reports.

1. INTRODUCTION

One of the most important factors that contributed to the decision made by a police Institution like the Spanish Guardia Civil at the beginning of the XXI century to institute a quality system in its criminalistics laboratories was the awareness that aroused among the people in charge of the need to guarantee that its clients trust their opinions. The DNA laboratory managed to be on the cutting edge for this task in the Criminalistic Service (SECRIM) and obtained the first accreditation for DNA analysis tests in Spain in 2003.

The fact that Criminalistics in this organization was already a renowned specialization was not taken into consideration, nor was the excellent view that Spanish judicial authorities had on the opinions issued by their laboratories. Any trustworthy organization, whether public or private, had started to introduce the quality systems years ago, knowing that complying with standards—international standards, if possible—was the best way to prove that its services were therefore considered, without a doubt and by all, of guaranteed quality. The international scientific forensic community was also aware of this and mobilized in Europe by creating the ENFSI (European Network of Forensic Science Institutes), the official laboratory network that is building up today to the Area of European forensic science, which the European Union hopes to see fully established in 2020.

The implementation of the European Committee for Normalization number 419, named "Forensic science processes" has been one of ENFSI network's main achievements. Driven by the European Presidency of the Polish Government in 2012, the Committee leads the composition of the first specific European standards for official forensic science laboratories in history.

In spite of such praiseworthy intentions, real Criminalistics presents a noticeable disparity of scientific quality worldwide. There are currently 24 different specialization areas in the Central Laboratory of the Guardia Civil and the scientific support for its reports is clearly unequal. While in the fields of forensic chemistry or biology it is possible to apply international quality standards created decades ago, and whose scientific basis is beyond doubt, this is hard to find in criminalistic disciplines. In this regard, even though the most traditional tests in Criminalistics can be accredited without any particular difficulties (ballistic, ridge pattern analysis matches or handwritten writing and signing matches, among others); the truth is that accreditation entity have difficulties finding both auditors outside the areas where Criminalistics are officially practiced and applicable standards to case-based forensics.

The client receives proof of the establishment of a quality system in each test by affixing a seal issued by the accrediting national entity in each expert report; it is however not easy for the client to distinguish the differences pointed out by the same seal.

There will not be many who point this out by justifying that it is better that this information never gets out of a specific controlled setting, shall we say, but truth be said, that mindset will not be of benefit to an official laboratory whose objective is to carry out a strictly scientific work. The lack of transparency is not reconcilable with such standards.

This work's authors have had more than enough experience, sometimes varied but always enriching and complementary, in establishing a quality system in an official Criminalistics laboratory. More than 50% of SECRIM's expert areas are accredited and it participates both in CEN-419 plenary and working groups, representing AENOR, and in the Quality and Competence Committee of ENFSI.

Though the current Law on Police Members (Ley de Personal del Cuerpo) allows to adjust the Unities' personnel according to the specialization needs of its members, there are 24 different criminalistic specialization areas in SECRIM that had not been yet classified in any official specialty recognized by the Service other than judicial police. This situation has never made training for forensic experts easy, especially in areas related to new technologies: forensic biology, chemistry and engineering. It has not helped either to guarantee its generational renewal, which has added a further obstacle in establishing and preserving the quality system.

2. QUALITY MANAGEMENT SYSTEM IN THE SERVICE OF CRIMINALISTICS

Quality is formally defined as the set of traits and characteristics of a product, process or service, that influence its capacity to satisfy its regulated or implied needs. In other words, quality is the vehicle that assures that a laboratory, company or factory's results or products meet the indicated requirements, both internally by its developers and by its clients.

The term quality is generally associated to a strategic entrepreneurial resource, but it can certainly be applied to any other context, which makes it nowadays a growing concern for managers, clients and, ultimately, our whole society. Currently, it has become a key factor for competing in a growingly demanding market. The Guardia Civil's Criminalistics laboratories are making every effort to guarantee the quality of the issued results, as they are used in decision-making procedures carried out by Unities of the Service in their researches or by courts in their procedures.

In the professional context of quality, it is normally said that "what is not written does not exist". The simplest activity of a laboratory must be standardized, documented, written, detailed and unambiguous.

The Quality Management System (SGC in its Spanish acronym) was set up in SE-CRIM in 1999, where the first training programs for the personnel were carried in the former Department of Analysis (currently Department of Chemistry, Environment and Biology). Those programs, based on the former standard ISO 45001, meant an initial contact with quality standards for many of the Central Laboratory members.

The current standard ISO 17025 comes from the former standard 45001, which was applied in the testing and calibration laboratories. It was a technical standard of voluntary implementation that did not include security or occupational risks aspects.

Since the implementation of the norm 17025, its requirements can be gathered in two groups: Technical requirements and Management requirements, both in the first version dating from year 2000 and in its latest update in 2005.

Technicians are in charge of personnel, facilities, environmental conditions, testing methodologies, calibration and validation methodologies, equipment, traceability of measurements, sampling, test and calibration sample handling, test and calibration results quality assurance, and report of the results.

Managers have more to do with organization, quality system management, document supervision, customer orders, offers and contract review, test and calibration outsourcing, services and supplies purchase, customer service, complaints, testing work supervision and/or calibration disapproval, corrective and preventive action, record control, internal audits and reviews carried out by the Executive Manager.

The first system's documentation review was approved in 2001, including, apart from the Quality Manual and General Procedures, all human DNA tests proceedings. And, as mentioned before, the first accreditation was achieved in this forensic discipline in 2003, which was granted by the Spanish National Accreditation Body (ENAC).

During the last 10 years, the QMS has spread out to the rest of the Departments of the Central Criminalistics Laboratory, as well as to the Zone (LCZ) and Command (LCC) Criminalistics Laboratories, so we can say that they are ruled nowadays by the same management and technical requirements.

2.1. DOCUMENTARY SYSTEM

The need to define the objectives and quality policies of the Laboratory, as well as the engagement all the personnel, make its documentary description essential to the QMS.

The documents defined within the System can be roughly divided into internal and external documents. Within the internal documents, and following the guidelines described in the Manual of Judicial Police of the Prefecture for that specialty of the Guardia Civil, the following documents are included:

- Quality Manual (QM): It is the System's background paper divided into chapters, where it is established as a declaration of intent, following the indicated guidelines in the standard, the aspects that have to be developed in the General Procedures.
- General Procedures (GP): These are documents where guidelines for action in fundamental aspects of the functioning of a laboratory are described: development of procedures, documentation management, execution of internal audits and nonconforming work, personnel policy, equipment and material management, samples, tests, issuing of reports and expert reports, test quality assessment, measurement uncertainty calculation, purchase of equipment and consumable goods, validation of methods, etc. There are currently 15 approved GPs, with additional documents that add up to a total of 79. These documents concern all Departments and Laboratories.
- Standard Operating Procedures (SOP): Technical or complementary documents of different activities that directly concern the tests carried out. There are various types: tests *per se*, equipment maintenance, equipment handling, etc. They are known as Technical Instructions (TIs) in the QMS.
- Technical Procedure Guides (TPG): These procedures are established in order to standardize specific tasks in the different areas of action of the Territorial Units entities (data mechanization, use of material, internal work procedures, formats of records, etc.).

TIs and TPGs have associated what is called "worksheets", in which primary data coming from all activities that are carried out are registered and which form the foundation upon which QMS rests.

SECRIM's Support Unit prepares TIs and TPGs in general matters for all derived Laboratories of the GPs. Central Laboratory Departments form the rest of TIs and TPGs about aspects related to their internal functioning and their forensic fields of activity.

The amount of work that derives from documenting the activities that take place in the SECRIM is shown in the following chart (figure n°1), where you can see both the numbers and the relative percentages of the internal documents that are currently into force in every Department.

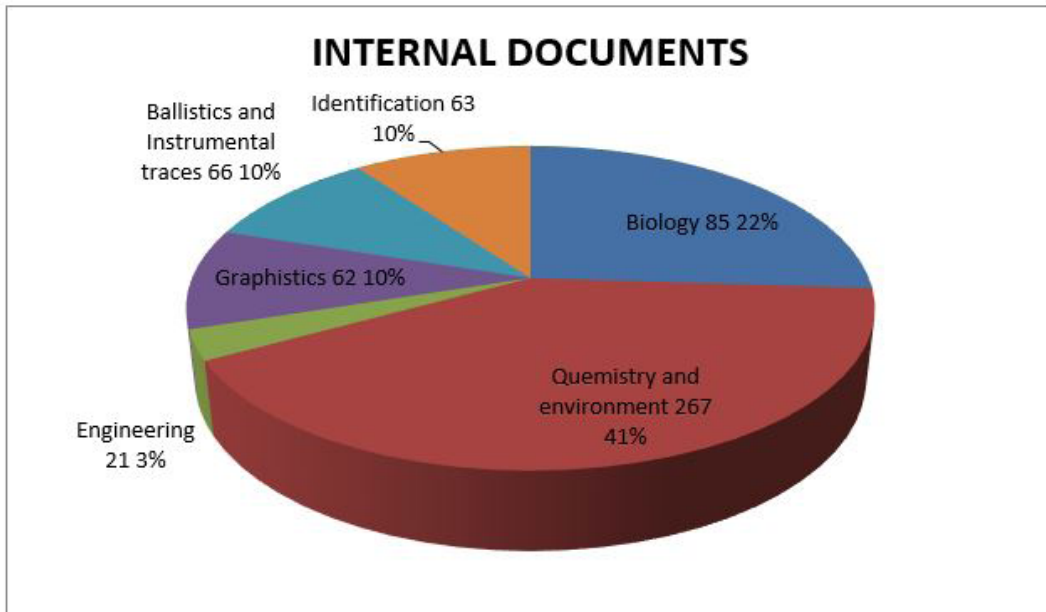


Figure nº 1: Internal documentation into effect in each Department

The directives, procedures and resources established by the Central Office of the SECRIM for the implementation of the system are prescribed in the internal documents. The results derived from the application of the documents are included in the quality records (formats, worksheets, etc.).

All documents obtained from sources outside the laboratory and that have served as a basis for the composition of internal documents are included in the external documents. The inclusion of this type of documentation can be either of mandatory (as it happens with legal provisions, laws, treaties, etc.) or voluntary nature (like references to publications or scientific studies linked to a particular test, guidelines coming from national or international entities, technical books, policy documents, etc.).

Here we have an illustrative example of the amount of external documents that currently belong to each one of the Departments of the SECRIM (figure nº2).

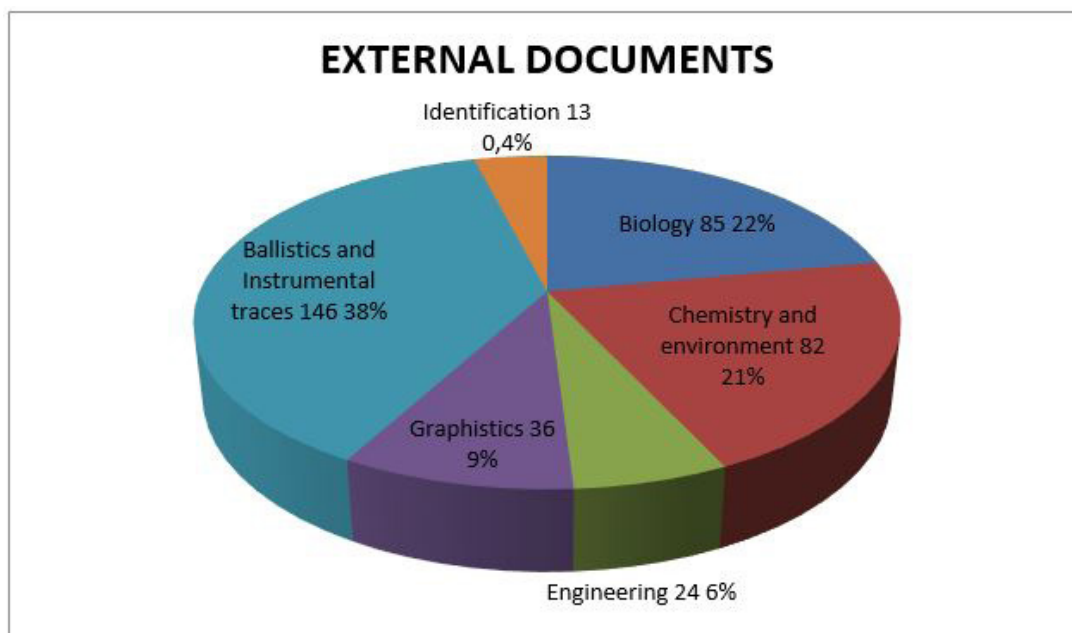


Figure nº 2: Internal documentation currently into force in each Department

This way, we establish a “documentary pyramid” whose upper vortex is the Quality Manual and its base is formed by the records that are generated from the normal functioning of the Laboratory and its QMS.

The distribution and control of this documentation is very relevant, in such a way that its access is guaranteed to every staff member that must perform any of these tasks. It is the manager for the Unity of Quality Management’s duty to perform and control the distribution of that documentation of the System, in order to make sure that all people concerned have the last applicable review at their disposal. The distribution is made through the delivery of controlled and non-controlled copies to people or organizations included in a Distribution Control List. This way, it can be proved how many times, when and to whom a copy of a specific document has been given.

2.2. ASSESSMENT OF QUALITY IN TESTS

The assessment of quality in tests, also referred to as “assurance of quality in tests” in the standard 17025, is the series of activities which ensure that a laboratory continues providing correct results in the studies and tests that it usually carries out. At the same time, it allows the detection of errors during the execution of an activity, determining the actions to implement of restorative, corrective, or even preventive nature.

It is clear that, even though there is a QMS aiming to avoid errors, nobody can sleep easy if apart from this system, that indicate us how to proceed, there is not any other type of control that proves with objective evidence, namely through documental records, that this control is being implemented and that the expected objectives are being attained.

The laboratory takes on a documented systematic tests of quality control, where the activities to be performed are described, including how regularly they must be performed, the people in charge and the enforceability to record the resulting data.

The data of the periodic quality controls that are established must be analyzed and assessed by a technical director, in such a way that, if criteria of approval/rejection were not satisfied, pertinent actions should be taken in order to solve the problem and avoid the issuance of incorrect results. To do so, there is a process of internal investigation, defined and documented in the QMS named “management of nonconforming works”.

These activities on quality control can be grouped together in two big groups:

- Internal controls: Inside of which 4 main groups can be found:
 1. Negative controls, which are normally carried out in each series of analysis in order to check, for instance, the inexistence of pollution.
 2. Positive controls of some parameters in each series of analysis in order to verify that all activities have been correctly carried out. They are not always implemented, as they imply an additional pollution risk. It is recommended that they are only carried out periodically.
 3. Blind samples, which consist in the repetition of a sample that has already been analyzed. Therefore, it has a defined value that makes it possible to confirm that the results replicate over time with different analysts, teams, etc.
 4. Repetition of samples, consisting in the repetition of a sample carried out by two analysts at the same time. This sample has not been previously analyzed.
- External controls: They are used to compare the results of the Laboratory with other similar results. There are different types of intercomparative and inter-laboratory tests (for instance aptitude, collaborative, or certification tests), although laboratories normally and preferably carry out aptitude tests.

The Laboratory has defined, within its policy framework, its intention to participate in intercomparative or inter-laboratory trials or tests, as well as to establish a participation program that includes no more than a period of four years, and in which the frequency of participation for each family or the type of tests are established.

There are currently plenty of intercomparative tests providers, with it even being an activity field provable before an accrediting body. Each Laboratory must suitably select the intercomparative tests according to its equipment and technical capacity. Subscriptions are made annually with providers from the international sphere (for instance, those organized by the CTS, Collaborative Testing Service) and from the national sphere (for instance, those organized by the INTCF, National Institute of Toxicology and Forensic Sciences), apart from those programs included in the forensic organizations to which the SECRIM belongs, like the ENFSI and the Ibero-American Association of Sciences and Forensic Studies (AICEF).

The Central Laboratory takes part each year in 130 tests that affect the majority of the Departments. The Department of Chemistry and Environment stands out in this matter, as it carries out more than 50 % of the tests, all of that in line with the number of tests accredited in its fields.

Overall, we can say that the system to follow in each inter-laboratory test that is carried out in a laboratory is the same one that is followed for any other test application

that is received for its approval, allocation, execution, report composition and issuance, with the following special features:

- The organizer indicates when and how the replies have to be made.
- After receiving the results sent by the organizing entity, the technical director reviews the results obtained taking into account the criteria established for the test. He prepares an assessment report of the test comparing the results obtained with those coming from other participating laboratories and those from the Organization.

2.3. STAFF MANAGEMENT

Within the implementation of the standard, one of the fundamental aspects that have to be monitored is the one referring to the staff. The laboratory must document and guarantee that the staff implied in activities of the QMS meet the requirements (studies, preparation, experience and training) in order to carry out their duties.

The requirements established apply to all the staff carrying out activities related to equipment handling, tests and/or calibrations, issuance of interpretations, report signing, etc., and for those whose functions and responsibilities have previously been defined.

Within the concept of staff it is included as well everyone who carries out activities in the laboratory through a contractual relationship, an internship period (through Collaboration Agreements on Curricular Internships with Universities), etc.

The Laboratory establishes an adequate training program in order to guarantee that its staff has enough theoretical and practical knowledge to carry out the activities they are entrusted. The Training Schemes of the SECRIM explicitly state the knowledge that experts must have in each of their 24 areas in order to be able to compose and defend the expert's reports before Court if necessary. Study requirements, training and experience are mandatory in order to take up each one of the job positions related to the quality of tests and analysis that are established. These requirements can be consulted in the Job Position Descriptive Infosheets, and must be approved by the head of the SECRIM.

In order to guarantee the effective functioning of the QMS, a series of functions and responsibilities are assigned to the different job positions detailed in the different documents of the QMS. There is a distinction between the functions and responsibilities related to management functions like, for instance, the ones practiced by the head of the Laboratory or a Department, and the ones related to functions eminently technical like, for example, those of a technical director or an expert.

Likewise, the Laboratory draws up a replacement diagram for the Job Positions defined in the QMS, especially for those considered critical by the standard, like the person responsible for Quality or a technical director.

The Laboratory also guarantees at all times the impartiality, independence and integrity of the staff that carries out each one of the activities, as well as the fact that they are not under any kind of pressure that could affect their technical opinions. Similarly, it is guaranteed that the staff is not linked to any other organizations that could affect their independence; this is proved through the declaration of confidentiality.

The Laboratory's policy foresees an ongoing training of its staff in every aspect affected by the System (quality and administrative technicians). To do this, Training Schemes that include both technical aspects of each Area and those specific of the quality regulation are being prepared. The training is carried out through internal and external activities of theoretical and practical nature. Approximately 40 activities of external training are carried out annually, in which staff coming from all Laboratories of the Guardia Civil take part. The QMS makes it compulsory to assess the effectiveness of the training actions implemented.

The laboratory establishes a systematic for the assessment of the staff working there, including those who issue opinions or interpretations in the reports, activities which cannot be accredited at the moment. Assessment is understood as the formal acknowledgement that someone can successfully carry out the tasks they are entrusted. The previous training and experience of a person regarding the mentioned tasks are taken into consideration, as well as completing them with specific preparation, training, and the successful completion of tests established for the activities to be assessed. The technical director is in charge of defining the tasks that his staff is to carry out. The assessment of the laboratory staff is certified by the head of the Department.

Currently, there are a total of 18 technical directors in the SECRIM. Approximately, 35% of the specialist staff in the SECRIM has a university degree. The minimum experience time required for the Technical Direction is an average of slightly more than two years.

2.4. TRACEABILITY OF VESTIGES INSIDE THE LABORATORY

The laboratory has described a systematic that guarantees the proper handling of vestiges in tests or calibration procedures, so that the test results are not affected by an inadequate handling. Moreover, it includes the necessary measures in order to guarantee at all times the integrity of vestiges and their samples, as well as the interests of the requestor.

The established requirements are applied to every vestige collected and received in the laboratory and affect all activities: from its reception to its return or storage. The activities that are included in the vestige management are the following:

- Reception of the vestiges in the laboratory.
- Distribution of the vestiges into the different work areas, which are unambiguously identified so that a vestige is assigned just one code while it is being examined inside the laboratory.
- Sample collection of the vestiges and handling of said samples in the test or examination procedures.
- Adequate identification of the vestiges and their samples in order to avoid both physical confusion and possible mistakes on misleading referencing in the records or other documents. This identification is kept during the permanence of the vestige and its samples in the laboratory. It is carried out clearly, visibly and indelibly in the vestige container, to avoid it being damaged.

- Referral and/or elimination of the vestiges and their analyzed samples and the remainders of the vestiges, as well as the samples sent.

It is necessary to keep in mind at all times the implementation of the best preservation measures depending on the nature of the vestiges and the test object samples at each of the stages described.

The traceability of the samples inside the laboratory allows us to know, through documental records, what has happened to each one of them after being extracted from the vestiges. In case they had been stored, their exact location could be determined. All of this is of utmost importance when a great quantity of samples is being handled, as in a laboratory like the one of the Guardia Civil. Here, it is frequently needed to reanalyze samples that are left in storage, like in the case of DNA extracts as a consequence of the need to increase the results obtained from a sample due to the improvement and optimization of the analysis techniques and the course of time.

3. ACCREDITATIONS

The accreditation of tests according to the UNE-EN-ISO 17025 Standard is the formal acknowledgment to say that SECRIM has the technical competence to carry out tests and to guarantee the reliability of the results obtained, which is granted to SECRIM by the only national Body authorized to do so, being the Spanish National Accreditation Body (ENAC by its Spanish initials), working beyond “simple” quality management.

It is a globally recognized acknowledgement, which has granted greater credit to the laboratory from those who are on the receiving hand of its work (judicial authorities, Operating Units, etc.) since the laboratory obtained it in 2003 and which is the basis upon which forensic information “quality” that is currently shared within the European Union must be founded.

Currently, SECRIM has two test accreditation files:

- **383/LE776**: Criminalistic tests. Obtained in 2003. It currently includes tests on human DNA, bacterial DNA, fingerprints, documents, paper money, writing, combustion accelerators, lamps, bullet drops, matching of ballistic elements, shoe prints, voice matching, and more.



Figure nº 3 Accreditation certificate 383/LE776 (criminalistic tests)

383/LE1151: Environmental tests. Obtained in 2006. Physical, chemical, microbiological, chromatographic and spectroscopy analysis about continental, waste and consumption waters...



Figure nº 4 Accreditation Certificate 383/LE1151 (environmental tests)

During 2011 and 2012 works for the establishment of QMS requirements in the Zone (LCZ, by its Spanish initials) and Command (LCC: Spanish initials) were implemented in the Criminalistics Laboratories. Thus far, 24 audits have taken place in different LCC's with the aim of including them in the accreditation related to the collation of fingerprints for matches and their developing processes, all to be in compliance with what was established in the Council Framework Decision 2009/905/JHA on Accreditation of forensic service providers carrying out laboratory activities, expected before November 2015.

In 2013, the Central Laboratory obtained the accreditation for the processing of fingerprints with different developers and on different surfaces. Afterwards, these work procedures were extended to all LCCs. Moreover, the accreditation for human DNA tests through the procedure called "Flexible Reach" was obtained, which allows the immediate incorporation of the latest developments in this field of work (new kits, equipment, etc.) to be added to the laboratory, given their status as accredited tests.

In order to perform an efficient and effective management of all procedures that are carried out in the Criminalistics Laboratories, we have been working since 2007 on the design of a Laboratory management application (Laboratory Information Management System – LIMS), which allows us to manage the preparation of expert and technical reports with the best legal and scientific guarantees. The LIMS app, developed by the American company Labware, has seen a progressive installation across all LCCs.

In any case, we must take into account that it is not possible to obtain the accreditation for all the tests that are carried out in a criminalistics laboratory such as that of the Guardia Civil, as this would be too costly. Even so, this does not mean that the areas, tests or activities that are not accredited lack a scientific and technical rigor appropriate for guaranteeing "quality" in the reports, as this is certified through the effective establishment of all the Management System requirements in those areas, tests or activities, even though the accreditation is not obtained.

4. STANDARIZATION IN FORENSIC SCIENCES

The forensic process extends from the performance of technical and visual inspection at the scene to the defense of the report or meeting minutes at the moment of the hearings. This procedure can be divided into four stages: technical and visual inspection, laboratory analysis, interpretation of results and defense of the report before the jury or the court.

The standardization or normalization of the work procedures that are developed in each of the stages, which still is not compulsory except for in named cases of DNA and fingerprint matching, can be obtained in compliance with the requirements established in different international-based standards:

- ISO 17020:2012 on "conformity assessment, requirements for the functioning of the different types of bodies that carry out the inspection" for technical and visual inspection.
- ISO 17025:2005 on the "general requirements for the competence of the testing and calibration laboratories", for the analysis and interpretation of results.

- ISO 9001:2008 of general nature for any type of procedure or in accordance with guidelines, guides or recommendations coming from reference Entities or Bodies.

We can highlight among these guidelines or recommendations the recent Guide of ILAC (International Laboratory Accreditation Cooperation) G-19:08/2014 about Modules in the Process of Forensic Sciences.

At a European level, the work developed by the ENFSI network since its creation in 1995 clearly stands out, establishing guidelines, recommendations and manuals regarding good practices in the 17 Work Groups where almost all forensic disciplines that are currently practiced worldwide come together.

The CEN-419 is currently working to develop the first technical specifically European standards (EN) which standardize each one of the stages included in forensic processes and which are mentioned at the beginning of this section. The purpose of these norms is their utilization for the voluntary accreditation of the forensic tests in this geographical area.

Spain participates in that European normative process through AENOR, in which different CTNs (Technical Committee for Normalization, *Comité Técnico de Normalización* in Spanish) are organized. In the case of forensic processes, efforts are focused on the CTN-197 about reports and actions carried out by the experts, and mainly on its Work Group n°3, managed by SECRIM since its creation.

Normalization extends from formal aspects of expert reports' content (for instance, the norm UNE 197001:2011 about "General criteria for the composition of reports and expert's opinions") to technical aspects for the performance of the different activities or tests, result interpretation, conclusion issuance, etc.

The activity of normalizing materializes with the elaboration of normalized work procedures (NWP), which are included in the QMS and which have as their final aim the accreditation or certification of certain procedures, as well as looking for an external and independent acknowledgement. They can also have the objective of improving the procedures and processes that an entity has defined in its QMS.

When a laboratory establishes quality norms, it obtains the following advantages: (1) the validity of its results is recognized; (2) its technical competence to carry out tasks or tests; (3) its cooperation with other laboratories becomes easier; (4) it is possible to harmonize standards and procedures with other laboratories; and (5) information and experience can be exchanged with other laboratories.

5. EUROPEAN STANDARDIZATION IN FORENSIC SCIENCE TESTS: EVALUATIVE CONCLUSIONS OF EXPERT REPORTS

5.1. INTRODUCTION

We find ourselves before a task in the stage of development; in other words, there is not yet a formal European standard about evaluative conclusions of expert reports, but the process inside the CEN-419 has been initiated, so we can expect that in a period of two to three years it will be possible to conclude the first European standard on this subject.

There are no known analogous examples from other places on the globe, although we could make an exception with the recent Australian standard on forensic science, which considers it in part insofar as it focuses on the interpretation of forensic analyses (AS 5388.3-2013). However, its scientific perspective is far from the one considered in European documents, as its scientific methodology is based on statistics typically termed classic, or of general nature.

As for the rest, some short pieces about expert reports' conclusions are written in other standards of a more general nature and in relation with forensic science, like the previously mentioned G-19 of ILAC. However, they are drawn up in line with the wider outlook of the document in which they are included, although the last version is clearly characterized by the defense of one of the fundamental principles of forensic evaluation: the need for having the evidence assessed in light of two competitive proposals (one from each of the parties).

We would have to go back to the year 2008 in order to find a proposal for a standard in the specified subject in Europe: that developed by the Association of Forensic Science Providers (AFSP) for England, Wales and Ireland.

In addition, with reference to an extensively European area, we must point out the development of the project "Development and implementation of an ENFSI standard for reporting evaluative forensic evidence", inside the Monopoly 2010 program of ENFSI, funded by the ISEC (Prevention and Fight against Crime) program of the European Commission. This project will be finalized in December 2014 with the submission of a guideline for ENFSI about conclusions of evaluative nature. It is seen as the document that could constitute the basis for developing the European standard in this matter, which the CEN-19 aims to draft up in its part 3, in an analogous way to the thematic division of the Australian standard AS 5388.

The previously mentioned project of the Monopoly 2010 program exhibited in the 2.7 version it put forth to the ENFSI network for an internal debate during the first four months of 2014. After the research group received 147 comments from 16 laboratories located in 8 European countries, the 2.8 version was then sent out, which has been spread throughout the network once again so as to raise a new round of discussions. The level of development of the current version and the direct participation of SECRIM in the research group make it possible to bring to the fore the main outlines of the European standard considered as predictable in the evaluative conclusions of expert reports.

5.2. PRINCIPLES OF EVALUATION IN FORENSIC SCIENCE

It appears necessary to start by defining the scope of the document that is being written in the Monopoly 2010 project because its aim, in point of fact, is not one of proposing a future standard for all kinds of forensic sciences answers a laboratory can issue when faced with requests from its clients. It focuses on a certain type of conclusion that it deems to be evaluative.

The work of B. Robertson and G.A. Vignaux, called "Interpreting Evidence. Evaluating Forensic Science in Courtroom" and published in 1995, is normally referenced as the main explicative work of the evaluative conclusion concept in the field of forensic science.

And trying to define that concept as much as we can inside the mentioned field, the document that the ENFI's research group is writing explicitly references the article written by I.W. Evett, G. Jackson, J.A. Lambert and S. McCrossan in the magazine *Science & Justice*, number 40(4), in the year 2000, entitled "The Impact of the Principles of Evidence Interpretation on the Structure and Content of Statements".

The cited article includes the three following precepts, which must be taken into account in order to make an evaluation in forensic science:

- The interpretation of scientific findings is carried out in a series of circumstances. The interpretation depends on the structure and the content of such series.
- The interpretation only makes sense when two or more competitive proposals are made.
- The role of the expert in the forensic science is to consider the probability of the findings, with the given proposals, and not the probability of the proposals.

These three precepts describe the essence of an evaluative conclusion. In practice, they are related to criminalistic comparisons between doubted and undoubted samples: the former are obtained in the crime scene, whether it is from the suspect or from the victim, and the latter are obtained as a consequence of police reviews or undoubted samples deliberately taken for the experts. The aim of these comparisons is for the court to be able to assess to what extent the doubted samples can be connected to the corresponding suspects, taking into consideration the proposals regarding that matter defended by the parties in the trial.

Therefore, it can be said that the matching of DNA, dactyloscopy, shoe or tire prints, handwriting or signatures, glass, paints, fibers, identification ballistics and voice profiles, as well as other profiles of analogous nature, fall within the parameters of the scope covered by the document, and hence their relevance.

It is important to point out the fact that there are 30 years of scientific literature standing specifically related to criminology comparisons of identifying nature in the mentioned disciplines. The most referenced authors can be found in the works of C.G.G. Aitken, D.J. Balding, J. Buckleton, F. Taroni, J.M. Curran, etc.

5.3. SOME NOTEWORTHY ASPECTS OF THE ENFSI GUIDE

5.3.1. Typology of expert report conclusions

The guideline acknowledges that a laboratory can respond to a petitioner for an expert report with a varied typology of conclusions, given that the logical nature of responses depend on which questions have been asked. There is a distinction among conclusions of factual or technical, investigative or operational, intelligent or evaluative nature. While the document only interprets evaluative conclusions, it is compelled to define all those that it considers to be possibilities. The two conclusions that have not yet been touched on in this paper are the following:

Technical or factual conclusions do not require any further interpretation of the results beyond a purely technical one. For instance, when a professional measures the noise level

of a noise source with a sound-level meter from a certain distance, all that must be interpreted is the meaning of the data collected in its unit of measurement and its associated uncertainty. And that interpretation is, as it has been previously pointed out, merely technical.

Investigation conclusions require a context in which the detective of a criminal offense is in a phase that we can describe as explicative. There is a need to formulate hypotheses in order to explain the facts which are already known and which deserve our attention. For instance, when an expert investigates a fire, he tries construct a mental idea of what could have been the cause of the fire and its possible propagation in the light of what he observes at the scene and, of course, his knowledge and experience.

Thus, it is possible to find factual, investigative and evaluative conclusions in an expert report submitted to a judicial authority depending on the questions asked. That division has a specifically logical nature and, therefore, a degree of abstraction can be found that makes them compatible with any legal system in which they are used.

5.3.2. Determining the proposals in the evaluative reports

The document highlights the need for close communication with the legal authorities in question (or with the parties of the trial in the Anglo-Saxon system) so that the expert can determine the proposals that must be taken into consideration in their evaluative expert review, in order to provide the court with the best information possible when it comes to the decision-making process.

Evaluative reports depend on the context of the information in a specific criminal case—which in our Criminal Procedural System can only be fully known by the legal authority—, consequently, the key concept of “determining information” is defined in the document’s glossary.

The document’s Guidance Note No.2 is focused on an innovative concept for many forensic experts, which is the hierarchy of proposals. The basic idea is to recognize that the proposals that the experts consider in their evaluative report may need to be described in the context of an activity and not in that of a mere origin of doubted samples. For instance, the absence of fibers in the seat of a vehicle where there is evidence of a struggle between the attacker and the victim can be relevant inasmuch as, due to the circumstances of the fact (nature of the struggle, time passed, etc.); a great number of them could be expected. In this regard, the transference concepts, persistence and levels of context acquire special importance.

5.3.3. Pre-assessment in evaluative reports

The concept of pre-assessment is not just something related to the English-speaking countries’ practice that consists expert reports drawn up by the laboratories which are part of the market economy, a form of criterion for an economy of means in a legal system where the practice of the experts’ tests are not usually free of charge.

The concept of pre-assessment aims to prevent the experts from making evaluative expert reports in contexts previously unexplored; that is to say, in cases where the strength of the test expressed through a connection of numerical probabilities does not have a foreseeable reference.

The concept of pre-assessment prevents the proposals from being formulated led by data, even though it is admitted that in the early stages of the investigation it is not possible to avoid it.

The given reasons stand to recommend that the practice of pre-assessment be present in the document, as it is a document that must meet the requirements of all legal systems existing in the European Union.

The pre-assessments are established when the proposals must be formulated at an activity level, as the mechanisms of transference, persistence and context levels are considered to be relevant for determining the importance of the scientific findings as a form of evidence. This is explicitly included in the document's Guidance Note No.3.

5.3.4. LRs in absence of data or data insufficiency

This has been one of the most discussed issues by ENFSI members after receiving the 2.7 version of the document. Many argued that it was not possible to apply the technique of the LR in its field due to the lack of databases or probabilistic models suitable for its casuistry. The research group has suggested a change—reflected in the 2.8 version, the second most recent one foreseen by its creators—by which the document highlights the fact that a basis on data LR is the logical way in which evaluative reports must be concluded. However, in the absence of data or if they are insufficient, it is possible to give the conclusions with verbal expressions of non-numerical LR's. The reason behind all this is that the LR mainly reflects a logical reference framework for assessing a scientific finding as evidence.

The document also notes that LR's verbal expressions that arise from numerical LR's using the correspondent scales should be used (the use of different scales depending on the characteristics of each criminalistic discipline should be justified), but it underlines the fact that numerical LR's cannot be lawfully assigned where they are based on the scales of verbally expressed LR's wherein there is insufficient or lacking data.

In any case, laws and theorems on the probability theory must be respected in any assignation of the probability to a proposal. Regarding this matter, we recommend consulting the work of O'Hagan along with other authors: "Uncertain Judgments, Eliciting Expert's Probabilities", published in 2006 by the publishing house Wiley.

5.4. IMPLEMENTATION PROBLEMS OF THE GUIDANCE NOTE IN THE JURISDICTIONAL FIELD

It is clear that the interpretative modifications exposed of the expert reports' conclusions produce, in the first place, a serious problem within each one of the laboratories. This is why there is a need for a specific training scheme in order to adapt to the requirements of a predictable future standard. These Interpretation modifications also create a problem – that is potentially even more serious – in the realm of jurisdiction.

The research group has designed a roadmap that allows the implementation of an itinerary of educational nature in each laboratory, with the aim of achieving an effective implementation of the future standard. It is without a doubt the field in which to begin and SECRIM has already initiated its own implementation plan.

The comprehension difficulties of the predictable standard in jurisdictional forums should also be alleviated with specific training schemes for its groups. This has already been implemented in some parts of Europe: Sweden, United Kingdom, Belgium, Switzerland, The Netherlands and Spain.

6. CHALLENGES AHEAD

For the past three decades, the international forensic community has clearly supported the establishment of a culture of quality in the laboratories that issue opinions before legal authorities.

The main challenges that, according to the authors, should be facing the Criminalistics Service of the Guardia Civil in the short and medium term are laid out below:

- Implementation of the financial mechanism for providing facilities adapted to the current and future development of Criminalistics inside the Central Laboratory (with European funds).
- Possible acknowledgment of Criminalistics as a differentiated specialty inside the Organization, as it is closely related to operational police investigation that various Units of the Guardia Civil carry out: Judicial Police, Information Service, Traffic, Fiscal and Borders, Disarmament of explosive devices (SEDEX), SEPRONA, etc., which make current Criminalistics a transversal area that gives a sense of cohesion and integrity to many tasks carried out by the Guardia Civil.
- Accreditation of other activities that are a part of forensic services such as technical and visual inspection at the crime scene, both general and specialized (fire investigation, operational ballistics, etc.).
- Establishment of an integral Management System (IMS) through which the requirements that rule the following normative references, among others, can be fulfilled:
 1. ISO 17020 (inspection entities, applied to technical and police inspection).
 2. ISO 14000 (environmental management, preferably regarding waste management).
 3. ISO 9001 (Process certification, regarding primarily evidence and report management).
 4. Legal regulation related to Occupational Risks Prevention and Information Security.
 5. Implementation of the management of procedures and an indicator system that would allow for an efficient laboratory management system and ease the decision-making process based on objective data.

NORMATIVE REFERENCES

UNE-EN-ISO 17025:2005 Standard. "General requirements for the technical competence of test and calibration laboratories".

UNE-EN-ISO 17020 :2012 Standard. “General criteria for the functioning of different types of bodies that carry out inspections”.

UNE-EN-ISO 9001:2008 Standard. “Quality management system”.

ILAC GUIDE (International Laboratory Accreditation Cooperation) G-19 :082014 about Modules in the Forensic Science Procedures.

Quality of the Criminalistics Service of the Guardia Civil Manual, Magazine No. 12 (Rev. 12)

Version 2.8 of the future ENFSI Guide about evaluative conclusions on expert reports.

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CORPORATE SOCIAL RESPONSIBILITY IN THE GUARDIA CIVIL THE ADOPTION OF A NEW MANAGEMENT MODEL FOCUSED ON SOCIAL, ECONOMIC AND ENVIRONMENTAL CONCERNS

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TECHNICAL BUREAU

ABSTRACT

In a globalized, intercommunicate and interdependent world, the role played by enterprises has been growing increasingly, having in some cases surpassed the budget of some states. Within this context, a more and more critical attitude in the international realm has emerged towards these enterprises as a result of the overwhelming consumption of resources and the impact of their activities on the future of the Earth. There emerged an important involvement of organisms, such as the U.U.N.N, OECD and ILO, to establish a guide for enterprises to join voluntarily. Over time, this new philosophy progressively became a norm in the form of responsibilities, in some cases through legal systems and, in others, through the codes of good governance of the most liable enterprises. It is in this sphere of willingness where the ESR works. On the continent, the European Union has envisaged the ESR as a process that can play an important role in the improvement of competitiveness, labor relationships, technology innovation and job creation, which are essential elements to overcome the economic crisis in which we find ourselves currently. Spain has been a leading country in ESR matters, having approved its strategy this past 24th of October. And the Guardia Civil, social referent by virtue of the trust it inspires in the citizenry, wants to join this new model to manage public affairs, submitting itself voluntarily to the management of its operations in sight of social demands, taking care of and respecting the environment, as well as intensifying its relationships with internal and external stakeholders.

Keywords: Corporate Social Responsibility, stakeholders, management, strategy, governance.

1. WHAT IS CORPORATE SOCIAL RESPONSIBILITY?

First of all, we should make clear that there is not a commonly accepted definition. The European Commission has defined Corporate Social Responsibility¹ (CSR hereinafter) as the voluntary integration, by both companies and organizations, of the social and environmental concerns in their operations and their relationships with their interlocutors. The CSR includes norms and values that the organization voluntarily adopts and, once adopted, they acquire internal regulatory power.

Being socially responsible means not only complying with legal obligations, but also committing to go beyond compliance, investing in human capital, the environment and

1 Author's remark: CSR is also known as Responsible Business (RB). Despite the debate on the differences between Corporate Social Responsibility and Responsible Business, the authors have decided to interchangeably use these terms through this work.

relationships with interlocutors. These measures, *voluntarily* accepted, can have a positive impact on the organization's competitiveness and productivity, generating growth and major profits.

Social Responsibility can —and we may go so far as to say it must—cause positive effects on the organization's activity. An example would be the creation of a proper working environment. There is no doubt that the relationship with the stakeholders contributes to this. Another example could be a greater efficiency in the use of the allocated resources in order to reduce impact on the environment. In both cases, CSR would contribute to a greater productivity, a better organizational performance and it would allow the attainment of the final objectives, or, according to the terms of the Guardia Civil's mission established in its Strategy Map, for “guaranteeing public safety and help the citizens, in a close and exceptional way, thus contributing to society's well-being”.

However, CSR can also generate negative effects. These come to be when a company that has adopted a CSR system does the opposite of what was promised, failing to fulfill the established challenges. And oftentimes, without malice or bad intentions, its behavior may even be simply incoherent. This is when the delegitimization of the organization and the loss, to a greater or lesser degree, of its reputation, come to pass. In the field of police corps, this situation would occur when a series of operational interventions go against the alleged nature that we presume they have, consisting of aiding and protecting their fellow citizens.

Therefore, an organization that wants undertake CSR has to consider the effort it is willing to make, the degree of commitment it needs and it must identify itself with CSR's purpose before making decisions that are not in kilter with the true intentions of its highest executive bodies. A CSR policy is not meant to be a “window dressing” ploy, aiming to improve the image of the brand or the company. It entails a social, economic and environmental commitment to workers and citizens that must be led by the highest executive positions.

It is relevant to point out that the implementation of CSR in an organization has a progressive nature. In theory, it does not go beyond a simple declaration or, as in our case, an issuance of a first report or memoir. However, as social responsibility becomes a part of the strategy, the decisions adopted are based on criteria that are added to those originally taken into consideration.

We could say that CSR has two dimensions: internal and external. The internal dimension refers both to the practices that affect workers and those that focus on the management of natural resources used in the production process. We refer to questions such as human resources management, health and safety in workplaces, change management and environmental and natural resources management. The external dimension focuses on the outside of the company; i.e. its interaction with its surroundings (city halls, associations, etc.) and with the services providers and the citizens, the compliance with human rights —at what point we should think about the companies and the use of low-cost child labor in Southeast Asia— and the attention they pay to environmental problems that affect our planet, especially deforestation and pollution.

We can state that the main characteristics of the CSR (Spanish Network of the UN Global Compact, 2010) are the following:

- Voluntary nature.
- It is included in strategy and business management.
- Triple approach: balancing economic, environmental and social aspects.
- It includes the demands of stakeholders.
- It is based on a global and transparent communication, guided by the premises of commitment with continuous improvement, progressiveness, comparability, materiality², accessibility, dissemination and verifiability.

If we take note of the reasons that have led the companies to include CSR criteria in their strategies and, thus, in their internal operating mode, there are authors who state that the main reasons for this are the following: an increased regulatory pressure, the modification of demand patterns in the consumer market and the modification of investment criteria in financial markets.

Finally, there are some concepts that, although they do bear relation to the CSR, are not Corporate Social Responsibility in their entirety, in spite of the fact that they are often mistaken as being so. In order to avoid this confusion, it is necessary to define these terms precisely:

- *Socially Responsible Investing* (SRI) or sustainable investing is a type of investment that includes social and environmental considerations in the selection of financial values, beyond mere financial profitability.
- *Solidarity investment* means that the fund manager donates a percentage of the profits to an NGO or a social project.
- *Responsible Consumption* refers to the fact that consumers not only take price and quality into account when choosing a product, but also the production process and commercialization, as well as the behavior of the companies that sell them. Consumers take into consideration elements like the impact on the environment or the working conditions of laborers (for instance child labor).
- The company's *Social Action*, according to the definition given by the Fundación Empresa y Sociedad in 1997, implies the "dedication of its human, technical or financial resources to society development projects, managed with a business mind, in the following areas: social welfare, health, education, professional training and employment".

It is positive when a company performs Social Action in order to create a beneficial atmosphere, both internally and externally, which can simultaneously help to improve the situation of the underprivileged. However, the Social Action coincides with the CSR

2 SAMAYO AZMITIA, Jorge A. (2014). Materiality in RB. *Perspectiva* magazine. "Materiality refers to all important issues of a company and to be responsible of the main impacts and associated risks towards its stakeholders, as well as towards its sphere of influence, about which they should inform by means of sustainability reports. This materiality implies that the organization must take into account the needs and expectations of its stakeholders in the decision-making process and its strategy planning, facing the RB in all of its aspects, as well as every activity and impact, whether it is direct or indirect." Obtained on 7th December 2014 from <http://www.perspectiva.com.gt/la-materialidad-en-la-rse/>.

very few times, where the opinions and needs of those affected are essential. Furthermore, Social Action can be just a means for social marketing.

- *Corporate Reputation* is a company's instrument to assess and reduce potential risks for its public image. It tries to analyze the perception stakeholders have of the company in order to improve it. That is to say, in order to attain objectives, from the Corporate Reputation's point of view, it would be enough to modify this perception, without needing to know the real needs of the stakeholders, nor producing substantial changes.
- Sustainability, or Sustainable Development, is defined in the UN's document "Our Common Future" in 1987 as those paths that lead to social, economic and political progress that satisfy present needs without compromising the capacity of future generations for satisfying their own needs, thus guaranteeing the balance between economic growth, environmental care and social welfare – which is also known as the *three aspects of Sustainability* –.
- *Social Marketing* is "the implementation of social marketing techniques for the analysis, approach, execution and evaluation of programs designed to influence the voluntary behavior of the target audience in order to improve their personal well-being and that of their society". This definition belongs to Alan Andreasen and it was published in his book *Marketing Social Change: Changing Behavior to Promote Health, Social Development, and the Environment*

The objective of the cited terms is not the same as that of the CSR, but they have in common the evaluation of the impact that companies and the rest of the organizations produce on their surroundings. This is why they are interrelated concepts and they should be known and properly distinguished.

2. THE GLOBAL NATURE OF THE RB. ITS EXPANSION AT AN INTERNATIONAL LEVEL

As a whole, CSR is classified as the will of different stakeholders to find solutions for the important problems that society faces (waste generation, CO2 emissions, water shortage, overfishing, social inequalities, human rights, etc.). The attempt to understand and change the global situation in a world that is more and more globalized, intercommunicated and where we progressively become more and more dependent on one another, has created an increasingly demanding movement, which compelled the companies to change their performance patterns in order to adapt to this new reality, which is increasingly critical.

The following change catalysts, in favor of spreading CSR through the world, have been identified (Spanish Network of the UN Global Compact, 2010):

- Cultural and economic globalization that has taken place over the last decades.
- The speed at which information is transmitted through the internet and technological innovation.
- The increasingly important role of image and professional prestige.
- The reduced relevance of the public sector and the increase of companies' influence.

- The strengthening of stakeholders and social demand in light of the financial scandals.
- Request of the shareholder for the risks to be managed, both financial and non-financial.
- Increasing business competitiveness and the need for highly qualified human capital, as well as the search for competitive advantages.

We could say that this process has taken place stage by stage (Global Reporting Initiative, 2012):

- In an initial stage, during the 60's and the 70's, governments were the ones in the spotlight. The association activity that was critical of the leading production systems' performance was the focus on retrieving data and verifying the limits of the *general development model* that existed back then, a model according to which natural resources were managed as if they were unlimited, waste was produced as if the planet could absorb it all at the same speed it was being generated and inequalities were increasing.
- In a second stage, during the 80's and the 90's, a link between social and environmental issues was established and what was under the spotlight was the world of business. The search for a *model of sustainable business* was initiated, that took into account economic, environmental and social aspects and did not exclusively answer to "the demands of its shareholders to pursue a maximization of profits" (Friedman, 1962). It was at that time when a great number of CSR organizations emerged, and when we started to count on "environmentally and socially friendly" products.
- Following these two stages, a third stage would manifest, beginning in 2000 continuing up to the present day, where the idea proliferated that problems are global, that they affect all of us and where companies and organizations, of whatever size and type, must get involved in finding a solution. The concept of *governance*, namely the processes through which the decision-making process is made within the organizations, is present in the agenda of important global meetings. Sentences like "think globally, act locally" are spread and products start to be adapted to the new reality, undoubtedly thanks to the boost given by consumers. Hybrid cars, biodiesel, energy-efficient light bulbs, clean energies, fair trade clothing, ethical diamond sourcing, etc. appear.

In 1997 the Global Reporting Initiative (GRI hereinafter) was created, a project that depends on Ceres, a national network based in Boston (USA), that grouped together investors, environmental organizations and other groups of public interest that worked with the companies and the investors in order to address sustainability challenges such as, for instance, global warming. In 2002, GRI became an international independent NGO, based in Amsterdam, The Netherlands. GRI, and many other organizations, strived to offer companies guidelines on quantifying the impact of their activity from an economic, social and environmental point of view. The GRI published its first guide in the year 2000, and its last in 2014, which was called the G4 (compulsory use from 31st December 2015).

The GRI has guides for content development. According to its "Sustainability Reporting Guidelines" (Global Reporting Initiative, 2014), a sustainability report must include

the following data, complying with the principles of inclusion of the stakeholders, sustainability context, materiality and inclusion of all relevant aspects:

The required Standard Disclosures for each option are presented in Tables 3 and 4:

TABLE 3: REQUIRED GENERAL STANDARD DISCLOSURES		
General Standard Disclosures	'In accordance' – Core (This information should be disclosed in all cases)	'In accordance' – Comprehensive (This information should be disclosed in all cases)
Strategy and Analysis	G4-1	G4-1, G4-2
Organizational Profile	G4-3 to G4-16	G4-3 to G4-16
Identified Material Aspects and Boundaries	G4-17 to G4-23	G4-17 to G4-23
Stakeholder Engagement	G4-24 to G4-27	G4-24 to G4-27
Report Profile	G4-28 to G4-33	G4-28 to G4-33
Governance	G4-34	G4-34 G4-35 to G4-55(*)
Ethics and Integrity	G4-56	G4-56 G4-57 to G4-58(*)
General Standard Disclosures for Sectors	<i>Required, if available for the organization's sector(*)</i>	<i>Required, if available for the organization's sector(*)</i>

TABLE 4: REQUIRED SPECIFIC STANDARD DISCLOSURES (DMA AND INDICATORS)		
Specific Standard Disclosures	'In accordance' – Core	'In accordance' – Comprehensive
Generic Disclosures on Management Approach	For material Aspects only(*)	For material Aspects only(*)
Indicators	At least one Indicator related to each identified material Aspect(*)	All Indicators related to each identified material Aspect(*)
Specific Standard Disclosures for Sectors	<i>Required, if available for the organization's sector and if material(*)</i>	<i>Required, if available for the organization's sector and if material(*)</i>

In connection with the guides used for the development of corporate social responsibility memoirs, it can be observed that there is a request to apply commonly accepted standards. In any event, given the voluntary nature of this area, these guides are used for assuring compliance in relation to what is established in them. It is important to note that standards should not be considered in the legal sense of the word. Thus, apart from the previous, we can find the following standards:

- ISO 26000 “Guide on social responsibility”,
- AS 8003-2003 of the Australian agency Standards Australia,
- SI 10000 of the Standards Institution of Israel.

It should be pointed out that there have been great difficulties with respect to an agreement on a standard being reached by specialized agencies, which led certain NGOs to intervene, offering management systems both of general and specific nature. This is the case of Social Accountability, which in 1997 created the norm SA 8000 aiming to properly meet the labor rights, paying attention to the precepts adopted by the international community. In the case of Account Ability 1000 (AA 1000), these norms were created by the Institute for Social and Ethical Accountability in order to assure the institution's sustainable performance. Finally, we would like to point out the norm

SGE 21 of Forética, an association of companies and professionals of RB in Spain, or the standard UNE 165010 EX, of the Spanish Association for Standardization and Certification (AENOR).

Another milestone in the creation of the CSR movement at a global level was the UN Global Compact. It is a call for business organizations from all around the world to align their strategies and operations with the ten universal principles of the area of human rights, labor standards, environment and anti-corruption and, at the same time, to take supportive actions with regard to wider UN objectives. It was created in 1999 in the World Economic Forum; it derived from an initiative presented by the UN Secretary General, Kofi Annan. Currently, there are more than 12,000 subscribers to the Pact based in more than 145 countries³. It is undoubtedly the most globally extended CSR initiative.

The Ten Principles of UN Global Compact

Human Rights

- *Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and*
- *Principle 2: make sure that they are not complicit in human rights abuses.*

Labour

- *Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;*
- *Principle 4: the elimination of all forms of forced and compulsory labour;*
- *Principle 5: the effective abolition of child labour; and*
- *Principle 6: the elimination of discrimination with respect to employment and occupation.*

Environment

- *Principle 7: Businesses should support a precautionary approach to environmental challenges;*
- *Principle 8: undertake initiatives to promote greater environmental responsibility; and*
- *Principle 9: encourage the development and diffusion of environmentally friendly technologies.*

Anti-Corruption

- *Principle 10: Businesses should work against corruption in all its forms, including extortion and bribery.*

Another one of the most important “global” agents regarding CSR is the Organisation for Economic Co-operation and Development (OECD). It was created in 1961 with the aim to promote employment, economic growth and the improvement of quality of life in the Member States, expanding developing economic activity worldwide and widening

3 <http://www.pactomundial.org/conocenos/>.

multilateral world trade, without discriminatory criteria, and within the framework of the treaties and international commitments.

The progress that it has experienced has made the OECD one of the most influential world forums in economic, educational and environmental matters, expanding its influence from the Member States and observers to private entities, involving them through the “Guidelines”.

“Guidelines for Multinational Enterprises” are recommendations made by the governments addressed to multinationals. They outline principles and voluntary standards for a responsible business performance, compatible with the applicable legislation.

These OECD standards of conduct were adopted in 1976 and reviewed in 2000. This last revision led to the adoption of more detailed procedures, which included base-elements of economic, social and environmental nature of a sustainable development agenda. These guidelines aim to “encourage positive contributions to economic, environmental and social progress that multinationals may make, and minimizing the difficulties that any of their activities may cause”.

Lastly, in global terms, we still need to address the role developed by the International Labour Organization (ILO) in this field. The efforts made by the ILO to create international guidelines in its field of competence were realized in 1977 in the adoption of the “Tripartite declaration of principles concerning multinational enterprises and social policy”, also known as the “MNE Declaration”. The principles included in this universal tool provide guidelines for enterprises, governments and employers and workers’ organizations in fields like employment, professional training, working and life conditions, and labor relations. This declaration comprises a valuable tool for promoting corporate social responsibility.

Then, in 1998, the ILO adopted the “Declaration on Fundamental Principles and Rights at Work”, which brings to light four principles that have been recognized as essential by all Member States: freedom of association and union freedom and the right to collective bargaining, the elimination of forced or compulsory labor, the abolition of child labor and the elimination of discrimination in employment and occupation.

In March 2000, the text on the “MNE Declaration” was reviewed in order to include the fundamental rights and principles at work. In this last update of the Declaration, which was approved in March 2006, a specific recommendation was added with the aim of encouraging companies to take immediate and effective action in their field of competence, so as to attain as a matter of urgency the prohibition and elimination of the worst forms of child labor.

In the ILO’s International Labour Conference that took place in June 2007, employers, workers and government organizations adopted a declaration on the role of the private sector in terms of economic growth. This provides solid and sound advice for policy making on the necessary conditions to encourage companies to perform in a competitive and profitable way while meeting their social and environmental responsibilities.

Lastly, we should mention the World Business Council for Sustainable Development (WBCSD). This global association, composed of approximately 200 enterprises, takes responsibility exclusively for business and sustainable development. It provides a platform where companies can explore sustainable development, share their knowledge,

experiences and better practices, as well as defend business positions about these issues in various forums in cooperation with governments, non-governmental organizations and intergovernmental organizations. Its members come from more than 30 countries and 20 industrial sectors⁴.

3. CSR WITHIN THE EUROPEAN UNION

If we move into the realm of the European Union, in the year 2000 the European Council in Lisbon made a “special appeal to companies’ corporate sense of social responsibility regarding best practices on lifelong learning, work organization, equal opportunities, social inclusion and sustainable development” (Conclusion n°39). The strategic objective to “make Europe the most competitive and the most dynamic knowledge-based economy in the world by 2010” was established in this Council. Evidently, after the financial crisis of 2008 and the subsequent economic and even institutional and social downturn that we are currently suffering, this objective has not been attained.

The Commission’s European Social Agenda, approved in the European Council in Nice in December 2000, highlighted the role that CSR can play when facing the consequences related to employment and society, derived from economic and market integration and when adapting the labor conditions to a new economy. The Nice Summit invited the Commission to issue a communication to strengthen the association with social partners, NGOs, etc. and to involve companies in that association in order to strengthen their social responsibility. The European Council in Stockholm welcomed the initiatives of the business sector to promote social responsibility in companies, indicating the Green Paper as a means to motivate an opinion exchange and promote new initiative in the field of CSR.

The Commission published the COM (2001) 366 final Green Paper, on the 18th of July 2001, entitled “Promoting a European framework for Corporate Social Responsibility” aiming to “launch a wide debate on how the European Union could promote corporate social responsibility at a national, European and international level”, thus establishing a “new framework for the promotion of corporate social responsibility”. In this document, we define the CSR and we consider all the aspects we should take into account in order to make progress regarding its implementation and to promote debate and reflection.

Subsequently, following up on the Green Paper works, the Commission would later approve the COM (2002) 347 final Communication of the 2nd of July 2002, entitled “Corporate social responsibility: a business contribution to sustainable development”. This document is the result of the consultation on the Green Paper and it outlines the European strategy for promoting the CSR, lending particular emphasis to its development in the participative and multistakeholder process. It was a major milestone, as it gave rise to the creation of the European Multistakeholder Forum on CSR that year.

In 2005, the fact that companies “must develop their social responsibility” (conclusion n°20) was also mentioned in the European Summit in Brussels’ conclusions. The European Commission approved the strategy for growth, employment and *sustainable development*.

4 <http://www.mapeo-rse.info/promotor/world-business-council-sustainable-development-wbcds>.

Likewise, the Commission's European Social Agenda, which was presented by the Commission in February 2005 and which would later be discussed in the Council, also referred to the promotion of CSR in the section "A new dynamic for industrial relations", pointing out the fact that "the Commission will continue to promote corporate social responsibility. In order to contribute to the effectiveness and credibility of these practices, the Commission, in cooperation with the Member States and parties involved, will put forward initiatives designed to further enhance the development and transparency of corporate social responsibility."

On the 22nd March 2006, the COM (2006) 136 Communication entitled "Implementing the partnership for growth and jobs: making Europe a pole of excellence on corporate social responsibility" was presented, in which the creation of the European Alliance for CSR was announced. With this "European Alliance for the corporate social responsibility", the Commission decided to promote a greater acceptance of CSR among European companies, as well as to increase the support for CSR and its acknowledgement as a contribution to sustainable development and to the strategy for employment and growth. In order to present this alliance, the Commission grounded itself on several years of public debate, consultation and dialogue with companies and stakeholders. The Green Paper (2010), the Communication (2002) and the creation of the European Multistakeholder Forum on CSR have made up important stages of this process, which still has a long road ahead.

On the 13th of March 2007, the European Parliament published the Resolution 2006/2133(INI), entitled "Corporate Social Responsibility". In the Parliament's resolution the European debate was positively assessed about CSR and the association of the EU with different business networks, it was confirmed that the CSR should provide a high value to the increase of competitiveness by means of the improvement of the R&D, as expected in the Lisbon Agenda, with a view to creating responsible employment, and the Commission was asked to devise new CSR instruments that would mean a greater control of the companies' actions by means of better information, to integrate CSR criteria into EU politics and programs and, lastly, to see that a larger European contribution to global CSR was made.

And this whole process culminated in the publishing of the COM (2011) 681 Communication by the European Commission on October 25th, entitled "A renewed EU strategy 2011-14 for Corporate Social Responsibility". Attention should be drawn to the following elements of the Commission's renewed strategy:

- In the current climate of crisis, the objective should be to regain trust and to reconstruct the social contract between companies and society.
- It is believed that the development of CSR since 2006 has been insufficient. Out of the 850 companies that issue GRI reports, hardly a hundred have integrated social responsibility in their core business, going beyond legal obligations regarding social, environmental, ethic and human rights matters.
- The establishment of an updated definition of CSR including the following:
 1. International references, specifically to internationally acknowledged principles and guidelines, like OECD Guidelines, the 10 principles of Global Compact, ISO 26000 and the ILO's Tripartite Declaration.

2. Multistakeholder nature, given CSR's multidimensional nature, even though the main role of companies would still be recognized, pointing out which should be the role of public authorities and of other stakeholders (unions, NGOs, etc.).
3. Regulation mix. The EU introduces the need to normalize some aspects of CSR, safeguarding the voluntary basis.

The Action Plan 2011-2014 includes a series of CSR boosting actions, among which we can highlight (Corporate Excellence – Centre for Reputation Leadership, 2011):

- Making companies' good practices more visible to consumers and investors.
- Improving and measuring trust levels in business activity.
- Establishing a code for good practice, in which companies and the stakeholders could participate.
- Facilitating market recognition. Public powers are encouraged to take into consideration sustainability and CSR criteria, such as for instance, in allocated construction and public investment.
- Transparency in social and environmental aspects by means of a common report of non-financial nature that will affect big companies and SMEs, without involving any additional costs.
- Boosting education in CSR.
- Boosting national and regional policies on CSR.
- Boosting CSR in companies that have more than 1,000 employees.
- Drawing up a Human Rights Guide based on the "UN Guiding Principles".
- Aligning European and international approaches, in an attempt to regain EU's leadership in this matter.

The document concludes appealing to all parties (companies, Commission, European Parliament, Member States, stakeholders etc.) to work together and coordinate efforts to develop these lines of action in 2014, but looking to 2020.

On April 29th 2014, the European Commission made an online public consultation that ended on August 15th of that same year, which encompassed discussion on the CSR Strategy for the period 2015-2019. For that purpose, the Commission held a plenary meeting on February 3rd and 4th about the European Multistakeholder Forum on CSR, aiming to discuss the future strategy. During the meeting, the CSR definition as "the management of its impact on society" was established, and the following aspects were indicated as key for the **2015-2019 new strategy** ⁵.

- The objective of the CSR must be to join the company's global management.
- The European Commission must keep playing an essential role for the exchange of good practices and collaboration between the different stakeholders.

5 Obtained on March 30th, 2015 from <http://concienciareponsable.blospot.com.es/2015/03/la-futura-estrategia-europea-de-la-rse.html>.

- The m.c.s. must commit to CSR and play a more proactive role assessing progress and setbacks.
- The new strategy must be aligned to international CSR frameworks.
- The majority of the companies accept the recommendations about the previous report of CSR strategy; thus rendering additional legislation unnecessary.

4. CORPORATE SOCIAL RESPONSIBILITY IN SPAIN

After the financial scandals of companies that took place in the late 90's at an international level, the manipulation of financial information and the fraudulent management of some companies by their managers, as well as the lack of correction of false expectations by the corresponding supervision bodies. The reaction that followed was the emergence of the so-called *movimiento del gobierno corporativo* (movement of the inaugural government), which had its first manifestation in Spain by way of the 1998 Olivencia Report, wherein the need to modernize administrative boards was indicated and a series of recommendations were synthesized in a Good Governance Code.

The following financial scandals that happened, once again due to the transformation of the Spanish capital market, made it necessary to conduct an analysis on the situation of the implementation of the Good Governance Code and the measures that tend to increase market transparency and security. Therefore, in January 2003 the "Special commission for the promotion of transparency and security in financial markets and listed companies", known as the Aldama Commission, wrote a report that would later become the Law 26/2003 of July 17th, which would modify the Law 24/1988 of July 28th on the stock market and the recast the text of the Spanish Corporations Law, approved by the Royal Legislative Decree 1564/1989 on December 22nd, aiming to reinforce the transparency of listed companies.

The preamble of the Law reads as follows: "Therefore, those recommendations whose most appropriate foundation can be found in a normative regulation are included in the basis of the indicated report, like the ones referring to:

The duties of information and transparency.

The definition and set of rules of the administrators' duties, especially in respect of conflicts of interest.

The obligation to acquire a series of mechanisms in terms of inaugural government that include, among others, regulation of the administration board, as well as of the general meetings.

Therefore, it is about formulating normative initiatives regarding the basis of the promotion of transparency in company management, insofar as the said principle of self-regulation is concerned."

In September 2004, the Spanish Congress of Deputies created within the Labor and Social Affairs Commission a subcommittee in order to boost and promote corporate social responsibility, suggesting the government create a set of measures to this effect. As a result of its work, in July 2006 it published a report, commonly known as the *White paper of the CSR*.

In March 2005, the then-Ministry of Labor and Social Affairs created the CSR Experts Forum. Consequently, in July 2007 the report "Public policies for promoting and developing CSR in Spain" was published. A total of 47 representatives of several ministries, companies and organizations of the civil society and University participated in its elaboration.

In December 2007 the government created the Social Dialogue Roundtable about CSR, along with companies and unions. Its responsibility was reflected on the document “The CSR. Social Dialogue”. The purpose of the Roundtable was to make proposals destined to encourage and spread good practices in terms of CSR, to promote CSR policies in public administration as well as to define the role and commitment with syndicates and business organizations in collaboration with public administrations. It also intended to lay the foundations upon which cooperation between social interlocutors and stakeholders can be established. Furthermore, the formation of the CSR Council was approved, which would later be normatively endorsed in 2008.

Later, the “report on CSR in Spain: a proposal for Europe”⁶ (Commission of the European Communities. Representation in Europe, 2013), commissioned by Commissioner Barnier for the 20th anniversary of the creation of the single European market, pointed out a clear situation: our country has maintained a leading position at a European level making an outstanding contribution to this field in terms of CSR.

On the normative front, the elements considered as unifying have been the following:

- The Royal Decree 221/2008, on February 15th, the creation of the State Corporate Social Responsibility Council (Consejo Estatal de Responsabilidad Social – CERSE)⁷ as a government consultant and advisory body on secondment to the Ministry of Employment and Social Security, which is in charge of boosting and promoting CSR policies, within the reference framework for developing this topic in Spain; and
- The Law 2/2011 of March 4th on Sustainable Economy, whose article 27 establishes the principles of good corporate governance and adequate risk management regarding remuneration for company directors. Article 35 refers to private sector liabilities, article 39 refers to the promotion of CSR and its anticipated thirty-first final disposition, similarly to other European Countries, the development of the conditions to spread information using social, environmental and good governance criteria in the pension fund investment policy.

Later, the Law 19/2013 was approved on December 9th about transparency, access to public information and good governance. In its seventh additional disposition it established that “the Government will add a Corporate Social Responsibility National Plan to the national public sector”. In fact, the Minister for Employment and Social Security had mentioned in 2012 that the CSR is an “effective and necessary response as a way out of the financial crisis” and she went so far as to commit to create and implement a CSR National Plan aiming to boost and promote the CSR criteria in Spain, both in companies and public bodies, considering this aspect as a mechanism to strengthen the Brand Spain. Other actions related to the subject that this law provides are the reinforcement of transparency in public activity through active publicity liabilities for all

6 Author’s note: the work coordinator was Mr. Aldo Olcese, this is why the reference “Olcese Report” will be used.

7 The presidency and secretary of CERSE are held by the Ministry of Employment and Social Security and the Directorate General for Autonomous work, Social Economy and Social Responsibility of companies respectively. One of the objectives of CERSE is the pursuit of the greatest homogeneity possible in corporate social responsibility and sustainability memoirs or reports that companies and organizations voluntarily publish. CERSE will become the Corporate Social Responsibility Observatory in Spain.

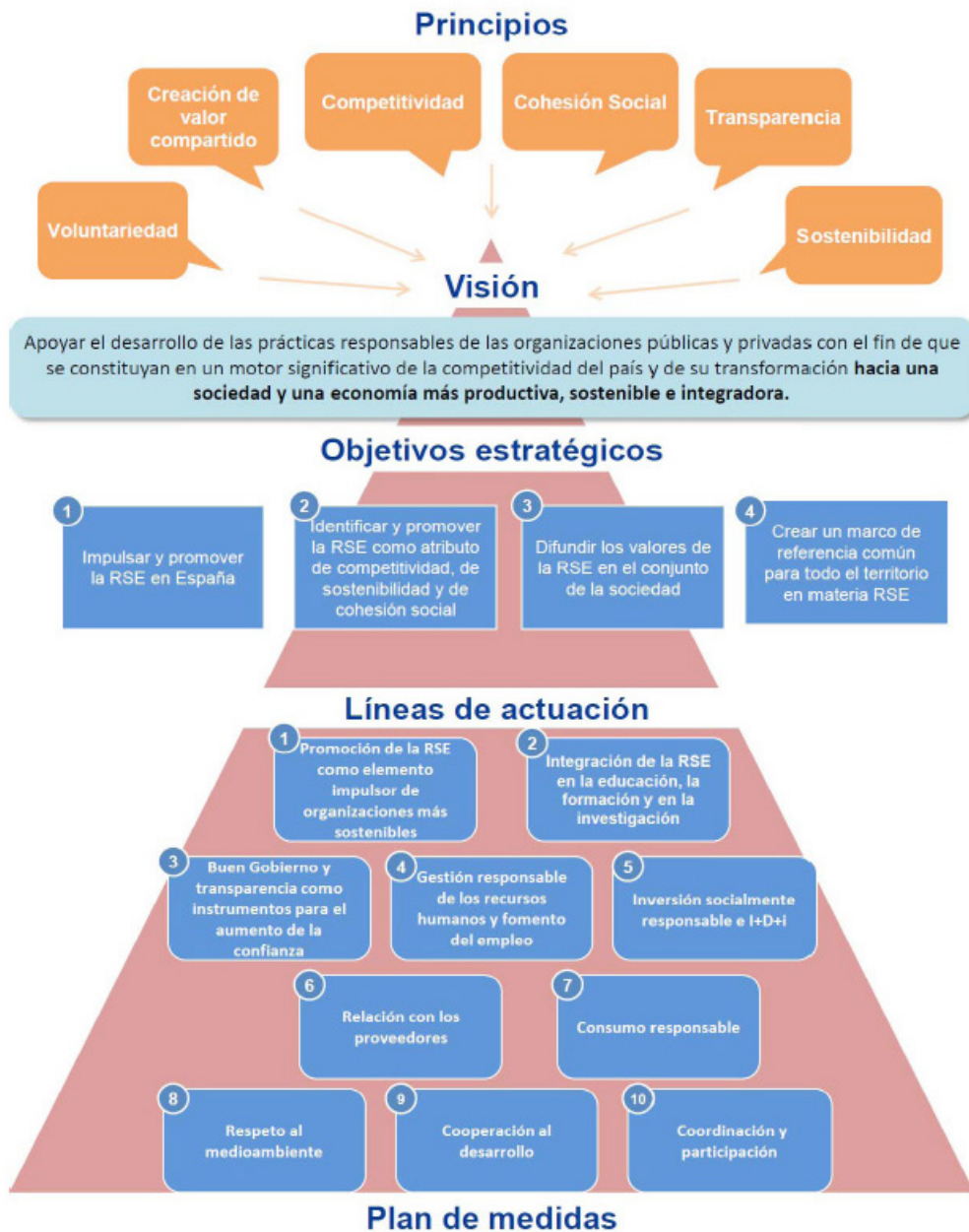
public administrations, the acknowledgement of the right to access information and, lastly, the establishment of recommendations of good governance that people in charge of public affairs must fulfill.

The enactment of this new law did not happen by chance. In fact, the current public governance and the State's institutional role crisis in particular and public administrations crisis in general shows that the relationships among institutions and their main stakeholders -the citizens- are being inefficiently managed. According to the Olcese report (European Communities Commission. Representation in Spain, 2013), it was necessary to foster an active policy for Social Responsibility of the Public Administrations at a European level, using the tools that have been useful when fostering CSR as well, such as "the obligation to write an annual Social Responsibility report for the most relevant PA, following the conveniently adapted patterns of the GRI for companies", among others. It was in this field where the Guardia Civil started implementing CSR.

At this point, it can be added that another reason that prompted the Guardia Civil to join the new CSR initiative was to be able to anticipate the new responsibilities which the central administration was going to have to face. And this new responsibility came along with the Corporate Social Responsibility Spanish Strategy approved by the Spanish Government on October 24th 2014⁸. This strategy is based on six principles, being competitiveness, social cohesion, shared value creation, sustainability, transparency and voluntariness. In addition to this, it establishes four strategic objectives and ten lines of action. Lastly, the document includes up to 60 prioritized measures and it determines which entities are in charge of implementing and fostering them. The scheme of the new governmental strategy in terms of corporate social responsibility is provided below.

8 <http://www.lavozlibre.com/noticias/ampliar/987394/el-gobierno-aprueba-la-estrategia-espanola-de-responsabilidad-social-de-las-empresas>.

Estructura de la Estrategia Española de Responsabilidad Social de las Empresas



9

- 9 Translator's Note: Structure of the Spanish Strategy for CSR (from top to bottom and from left to right): Principles: Volunteer nature, shared value creation, competitiveness, social cohesion, Transparency, Sustainability. Vision: To support the development of responsible practices of the public and private organizations in order for them to be a significant driving force for the country's competitiveness and transformation **towards a more productive, sustainable and unifying society and economy.** Strategic objectives: 1. Boosting and fostering CSR in Spain, 2. Identifying and fostering CSR as a competitiveness, sustainability and social cohesion feature, 3. Spreading CSR values throughout society, 4. Creating a common reference framework for the whole territory in terms of CSR. Lines of action: 1. Fostering CSR as a boosting element of more sustainable organizations, 2. Including CSR in education, training and research, 3. Good governance and transparency as a basis for trust, 4. Responsible management of human resources and promotion of employment, 5. Socially responsible investment and R&D, 6. Relationship with providers, 7. Responsible consumption, 8. Respect for the environment, 9. Development cooperation, 10. Coordination and participation. Action plan.

Out of its 10 lines of action, we would highlight the fostering of “good governance and transparency as tools for increasing trust” because of its topicality. It is evident, as perceived from the reading of the Strategy, that it includes public administrations, both regarding the fostering of CSR and its aspect as a fostering element of the most sustainable organizations, for which the Ministry of Employment will prepare a regulation, an electronic tool and a website specialized in CSR, in order for these organizations – as well as private ones – to be able to publish their memoranda and reports on sustainability/CSR. It will also implement mechanisms that allow the acknowledgment of that work, which will mean going beyond what is legally compulsory in terms of employment, equality, disability or environmental protection, among others.

The Strategy, in the implementation section, establishes the responsibility of the public administrations¹⁰ as the following:

- To make sure that organizations really assume social responsibility and meet the materiality criteria.
- To foster the diffusion of the CSR so that it reaches society.
- To make sure that CSR leaves a mark on every stage of the productive fabric, without this meaning the inclusion of new administrative burdens or burdens of any other kind.
- Make clear examples of responsible entities in every sphere of influence.

Regarding the measures addressed to public administrations and which affect our Institution in some shape or form, the following can be considered:

1. Very high priority

- (3) Implementing procedures for publishing memoranda and reports on social responsibility and sustainability (short term).
- (4) Tool for sending CSR memoranda and reports (short term).
- (5) Creating an accessible webpage specialized in CSR (short term).
- (14) Fostering good governance practices in the organizations (medium term).
- (17) Fostering actions intended to fight against informal economy and fraud, both labor fraud and fiscal fraud (medium term).
- (18) Fostering ethics and transparency in the organizations (medium term).
- (19) Boosting CSR as a mechanism to strengthen Spain’s image and the positive perception of Spanish products and services (long term).
- (20) Fostering the preparation of annual reports that include transparent information about social, environmental and good governance aspects (short term).
- (26) Respecting and safeguarding human rights across the whole value chain (short term).

10 It is important to note that the Ministry of Employment and Social Security will be the one to create an inter-ministerial workgroup in order to articulate those measures that must put other ministerial departments into operation.

- (57) Implementing coordination mechanisms between General Administration and the Autonomous Communities (medium term).

2. High priority

- (2) Fostering communication platforms and spaces for dialogue between organizations and stakeholders (medium term).
- (7) Spreading and making known the efforts of the companies committed to CSR (short term).
- (9) Fostering the fact that the social responsibility criteria became a referent (short term).
- (22) Fostering actions to favor diversity in staff, through an equal opportunity policy (medium term).
- (23) Encouraging actions intended to facilitate the reconciliation of the personal, family and professional life of workers (medium term).
- (24) Encouraging the fostering of health in work centers (short term).
- (25) Encouraging the labor integration of the people at risk of social exclusion in ordinary companies, as well as facilitating entrepreneurship (medium term).
- (35) Ensuring that the CSR principles are met in the supply chain and encouraging companies to transmit their management models (long term).
- (36) Fostering the actions intended to satisfy the commitments that organizations make with their suppliers (medium term).
- (44) Reducing the environmental impact of all organizations (long term).
- (58) Extending and fostering CSR throughout the territory (medium term).

3. Medium priority:

- (12) Boosting the integration of the personal and social contribution value to a more sustainable society model in the study programs (short term).
- (13) Fostering the teaching of CSR both in educational institutions for professional education and in universities for university education (short term).
- (28) Facilitate and propose corporate volunteering opportunities (medium term).
- (33) Fostering research, sustainable innovation and the development of services and products intended to improve people's quality of life (long term).
- (37) Urging public administration to adapt their financial and technical capacity criteria in the procedures of public tendering (long term).
- (38) Encouraging the integration of social, environmental, human rights and ethic criteria in public tenders and acquisitions, linked to the subject of the contract (medium term).
- (42) Fostering responsible advertisement and communication policies (long term).

- (45) Reinforcing information oriented towards control and responsible consumption of natural resources (medium term).
- (47) Tracking and reinforcing prevention and waste management programs by using the most appropriate technologies (long term).
- (48) Progressing in the programs whose objective is to reduce and minimize direct and indirect emissions (long term).
- (49) Fostering the use of clean technologies (long term).
- (50) Stimulating the spreading and consideration of companies' and organizations' Social Action activities for their public acceptance (long term).

According to the consideration of leadership in this field expressed in 2012 by Commissioner Barnier, Spain is the European country, which accounts for the highest number of companies ranking in the first positions of the international CSR and sustainability. In order to support this statement, we provide the following data:

- Spain ranked fourth internationally as having the most sustainable companies in 2013, according to the Sustainability Year-book 2013, which was presented by RobecoSAM in collaboration with KPMG in the World Economic Forum that took place in Davos. This position was attained thanks to the fact that five Spanish companies had the best five scores in their respective sectors (Amadeus, Gamesa, Gas Natural, Iberdrola and Repsol)¹¹.
- In 2013, the large companies that carried out responsible practices were a total of 147, 23 more than in 2009 and three more than in 2011 (Club de Excelencia en Responsabilidad, 2011). If we take the companies that have more than 1,000 employees as a reference, according to the Spanish Statistical Office's (INE)¹² data, there were 646 in 2014, and the percentage of those that have joined the CSR would be 22.75%.
- According to the document Spanish CSR Strategy, in 2012 there were more than 180 companies that had an annual report on CSR, with Spain being the country with the highest implementation level of the GRI guides.
- With regard to the Spanish Network of the UN Global Agreement, there were 2,600 member entities in 2014 subscribing to the agreement (21.6% of a total of 12,000 at a global level) out of which 12% were large companies, 72% were SMEs and 16% were other kind of entities (tertiary sector, unions, business partnerships and educational institutions)¹³.
- In the public sector area, actions are still developing. For this reason, there is only one CSR memorandum published by the Ministry of Defense, since 2009, by the Ministry of Finance and Public Administration, since February 2014 for the whole State General Administration sector, and since December 2014, by the Guardia Civil.

11 <http://www.compromisorse.com/rse/2013/01/22/amadeus-gamesa-gas-natural-iberdrola-y-repsol-las-mas-sostenibles/>.

12 <http://www.ine.es/jaxiT3/Datos.htm?t=299>.

13 <http://www.pactomundial.org/conocenos/>.

5. CORPORATE SOCIAL RESPONSIBILITY IMPLEMENTATION IN THE GUARDIA CIVIL

The Guardia Civil, in its continuous striving to achieve the enhancement of the services it provides and the excellence in its management, after a study-proposal from its Center of Analysis and Prospective (CAP), in February 2012 began the labour to implement a RSC project in the Institution. This project will be an important success for the Institution, as it would enhance the connections of the Guardia Civil with society, while positively affecting its social image, as it would deepen perceptions of transparency, efficiency, social compromise and a culture of safety.

The quote from Rodrigo Uría, a Spanish lawyer, would sum up all that has been said: *“decency is the aesthetic manifestation of ethics”*.

With this performance, the Guardia Civil tries to go a step further, beyond the legally entrusted missions, so the personnel take into account the immediate impact and future of their actions, both on society, as well as on the economy and, of course, on the environment.

In June 2012, the Guardia Civil contacted several companies and institutions that had already begun their RSC programs, in order to adequately channel their experiences to the work of the Institution.

As a result of these contacts, several conclusions were made: firstly, and as a key element, the need to rely not only on approval, but also on commitment, determined support and the necessary momentum from the head direction of the Institution. The following characteristics were considered as well:

- The incorporation to the project is voluntary, but once the decision is made, the Institution assumes an enormous compromise with transparency, which might be uncomfortable at times.
- In order to implement it, the decision of its highest responsible figure is essential, as well as the collaboration and implication of the Operational Adjunct Directive and several Sub-Directorate General. These offices must contribute to the constitution of an “ad hoc” work team for the development of the RSC Project with qualified representation.
- To keep track of its implementation, a specific type of methodology that allows the evaluation of the report is needed, the *Global Reporting Initiative (GRI)* being *that* the most adequate.
- It is important to decide if they are going to receive any external consulting support, which would imply additional costs.

With the given experiences and the “learnt lessons” deduced by the consultants, the Guardia Civil concluded that the implementation of a continuous RSC system in the Institution was an ambitious, attractive and viable project.

The current vision was based on contributing to the well-being of the society through quality in the service and proximity to the citizens, which was not new for the Institution. However, the decision of implementing it in the Guardia Civil implied a responsible and voluntary commitment to the society, which, as we said before, would go beyond the project itself of developing legally entrusted functions.

The socially responsible behavior implied a greater investment in human capital, security and health in the working place, the environment, etc. It implied an important effort, mainly in transparency, social and ethical commitment, efficiency, labor prevention, environmental awareness, sustainability, etc.

The decision to develop an RSC project would bring about an important strengthening of the Guardia Civil's image, as well as benefitting the institution itself from its social commitment. It would prove its modernity, visibility and efficiency. It would also increase the citizens' knowledge of the Guardia Civil, as well as it would spread the institutional principles and values.

The Guardia Civil established as the project's more specific objectives, transparency, proximity to the citizens, giving a guide and an action framework for the decision-makers, strengthening its image, anticipating the new demands in the field of RSC, spreading the culture of security and increasing the commitment of the Institution to society.

It will also fit perfectly with the Strategic Management System of the Guardia Civil (SIGEST). For example, the objectives of the RSC are perfectly comprehended in the strategic objectives. For instance:

- C02 - Assuring the security of citizens and providing quality assistance, attention and information in an approachable way.
- P06 - Foster the relations with the community and improve the knowledge of our Institution.
- R03 - Improving living and working conditions.
- R04 - Foster the use of the communication and participation systems available.
- R05 - Upholding and communicating our essential values and principles as the bedrock of corporate identity and internal cohesion.
- R07 - Efficiency in resources acquisition and management.

It would be a global, continuous, flexible project without any initial budget. Ultimately, the decision taken was to rise to the challenge without the aid of hiring external consulting services, a decision based on the economical climate during which the process was established. Its momentum, leadership and direction was directly assumed by the Technical Cabinet.

In order to put this project into motion, many temporary goals were set, which led to the publication of a Guardia Civil Social Responsibility memorandum in 2012:

1. Until the middle of September; previous analysis of the precise information for the drawing up a memorandum that could fulfill the requirements of the *Global Reporting Initiative (GRI)*, and which must certify the latter report.
2. The Convening of a Work Team after September formed by several functional areas of Senior Management.
3. Inaugural meeting of the Work Team in the middle of September, in which these points would be discussed:
 - The project, objectives and presentation of anticipated stages.

- Presentation and validation of the data and information considered for the write up of the memorandum.
- 4. Information and data petition to the responsible units for the drafting of the memorandum.
- 5. Information analysis provided by the Units and simulation of the 2011 Social Annual Report, in which structural mistakes from the previous working processes could be refined.
- 6. Information and data request to the Unities from the year 2012.
- 7. Designing and incorporation of data to the 2012 Social Annual Memorandum.
- 8. Referral of the GRI Report for its (optional) evaluation or self-evaluation.
- 9. Publishing of the report and information to m.c.s.

Lastly, the 2012 Annual Report was simply a draft used to evaluate the production system of the report for the next fiscal year.

This barrier could be finally overcome in 2014. The calendar, which was established the previous year, was used again, finalizing the creation process of the memo in the third trimester of this year.

A website was also published in the inaugural intranet during 2014, on which the project was presented to the personnel of the Guardia Civil, while they were given the opportunity to participate actively in it by volunteering proposals and a suggestion mailbox.

This was in an attempt to achieve a constant involvement of all personnel from the Guardia Civil, which would evolve and improve in the results of future years. The key milestone in the whole process was the publication of the RSC Report related to the 2013 period on December 13th 2014, which was covered by several social communications agencies.

As subsequent actions were established within the working teams, the following phases were defined:

- **Phase 1: Situation Analysis.** In this phase, the publication of the 2013 Annual Report could be concluded, where an self-diagnosis of the internal and external dimensions of the Institution was carried out.
- **Phase 2: Elaboration of a strategic action map.** In the 2013 Annual Memorandum, a series of “challenges” implied the first step for the formulation of the objectives of this map. The prioritized actions that help reaching the objectives would later be selected (short, medium and long term), the assigning of the responsibilities to the different actors and the establishment of monitoring indicators which enable us to see if we are on the right track.
- **Phase 3: Application of socially responsible measures:** It is important to have a communication system of the measures to implement as well as resources for the application of specific projects within the Institution (see the case for social volunteer actions).

- **Phase 4: Progress evaluation.** Once the measures are applied, achievements and the effectiveness of its application need to be analyzed. In order to do so, we need to include, in addition, the established indicators for this purpose, to see if we are adequately progressing. It will be necessary to analyze the obstacles that have impeded the establishment or effectiveness of specific measures, and draw from them the correct solutions.
- **Phase 5: Continuous improvement.** The RSC is a model which implies a continuous and constant effort. After the evaluation published in the annual report, the process resets, so it will be necessary to analyze and, as it were, to reformulate the objectives, indicators and measures to be applied, reinforcing communication and taking on board the internal and external ideas and suggestions. With this cycle, a continuous improvement process takes place, which allows us to pave the way for excellence.

Likewise, following one of the pioneer organizations in this field (Excellence in Responsibility Club, 2011); an organization that wishes to be a leader must implement the criteria described hereinafter. We highlight, due to its importance, that according to the last available study in the Excellence in Responsibility Club, 71% of the companies that were part of the study aligned their strategy with the CSR.

“Criteria of the ‘leader’ organization”

To allocate the evaluations in each of the answers, the following were considered as characteristics of a responsible company and paradigm sustainability:

- *A specific strategy, which has the sole aim of implementing and developing the corporate responsibility principles across all the chain values.*
- *The existence of an internal level of complete ethic codes and a specific code of conduct for suppliers.*
- *A complete dialogue management with the interest groups in which all the stakeholders are identified, sorted into groups and prioritized.*
- *The carrying out of responsible innovation activities, understood as those that consider environmental and social aspects in the R&D.*
- *Incorporation of TICs to improve the efficiency and management of the processes in the company.*
- *Incorporation of the corporate responsibility on the Administrative Board.*
- *Comprehensive management of risks.*
- *Adequate management of the supply chain through recognition procedures, such as prices, for those suppliers and/or outsources that demonstrate strong commitment to corporate responsibility.*

Other measures that had been considered for the control of the suppliers are: a risk analysis that includes questions related to corporate responsibility, specific corporate responsibility criteria for suppliers of goods/services with higher risk on the job, phase-specific analyses, external social audit, internal policies and procedures, service inspections and resolution of the contract for breaching the agreed conditions of corporate responsibility.

- *Overcoming the volume of recruitment of employees with different capacities, according to the Handicapped Social Integration Law.*
- *Environmental management system.*
- *Reduction/compensation strategy of the greenhouse gas emissions and fighting climate change.*

- *Promotion of the energetic efficiency of internal processes and/or commercialized services.*
- *Sustainable Mobility Plans.*

6. CONCLUSIONS

The process we are seeing at an institutional level in the Guardia Civil in its very early stages, with the creation of our first RSC 2013 Annual Report, is proof that something is changing in this area. The question we need to ask ourselves is: since when does a public organization with more than 170 years behind it, and which has a clear vocation to serve as declared by its founder the Duke of Ahumada, need to take recourse to an organizational management strategy called Corporate Social Responsibility?

Clearly, the Guardia Civil is not an isolated entity. It is an organization that has always paid attention to those tendencies that have had a positive impact on the way organizations are managed. The strategy was made in the 2000's with the incorporation of considerations related to quality, to the need for adding the decision process of the "client" opinion about the service he/she receives. Taking into account Norton and Kaplan's techniques about the design and strategy control through the Balance Scorecard, the Guardia Civil included this need. It was also made with the incorporation, but with different results, of the environmental management trends. And it continues to do so, with great enthusiasm, with management of Labour Risks or the approval in 2013 of the Committee for effective equality among men and women.

We should point out that as of late, the Guardia Civil has responded to the new entrepreneurial trends that have created innovation in management. However, this change follows something deeper, especially if we take into account the most recent cases of corruption discovered in our country. CSR was created after the global discontent against interventions, sometimes from the government, and other times from big international corporations, for the control and use of the national resources. Those non-governmental organizations — from the so-called *Third Sector* — fought against the abuses of power, when they posed a great threat to our planet and the survival of future generations. Later, criticisms against the abuse mainly focused on the child abuse from certain parts of the planet and, subsequently, on the need to improve the labor conditions of slavery in which many workers of the world lived.

This trend claims that the big organizations (UN; ILO, OECD) supported them and gave them great momentum in Europe. Our country has always been in the lead, carrying the flag for a movement that always demands greater responsibilities from our companies, fulfilling the social, economic and environmental order, beyond their legal obligations. In Europe, since the Lisbon Summit, CSR progress has been interlinked with improving the competitiveness of the economies of the old continent, as a positive aspect that will let them be more competitive and improve employment.

In this regard, and in answer to the question posed above, the Guardia Civil understand that aligning their strategy with the CSR requirements will modernize its management, letting them anticipate the demands of the new diamond Strategy from the Employment and Social Security Minister, associated with the values from the new Transparency Law, and, furthermore, renewing its commitment to its citizens. Guardia Civil wants to join CSR as a symbol of the change that citizens demand in the public

sector. The cases of corruption have made these citizens believe that public power has acted without control, within the framework of the law, when corruption, as any type of delinquent activity, is object to the principle of culpability and personal responsibility. Thus, in these years of controversy and criticism against the political system and its poor *governance*, the best solution is in joining the new trend, which, as we have seen, comprises 147 companies that follow the required criteria in relation to socially responsible management, as well as the 2,600 subscribers to the Global Agreement of the United Nations.

The Guardia Civil cannot and must not stay apart from this trend. As outlined, because this is going to be a new demand sent from the General Administration of the State, but also because it is the institution that citizens trust the most, according to the latest statistics from the CIS in 2013. Due to this reputation, the Guardia Civil needs to take a step further in the defense of the values that citizens are demanding. CSR is transparency, commitment to interest groups, the responsible use of natural resources, energy efficiency and responsible treatment of workers but, above all, it is honesty, integrity and respect before all citizens. We do believe that the Guardia Civil upholds the values the Duke of Ahumada established when he founded this Institution, working hard to fulfill its tasks with patience and honesty, and thus having much to offer to Corporate Social Responsibility.

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