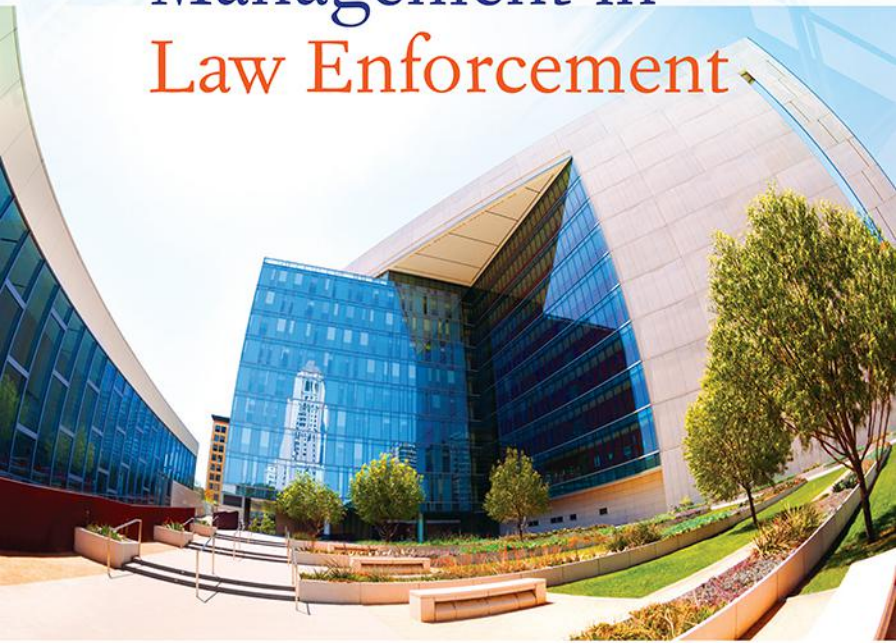
Fourth Edition

Organizational Behavior and Management in Law Enforcement



Gennaro F. Vito | John C. Reed | Harry W. More

ORGANIZATIONAL BEHAVIOR AND MANAGEMENT IN LAW ENFORCEMENT

FOURTH EDITION

Gennaro F. Vito, PH.D.
Professor,
Department of Criminal Justice and Southern Police Institute,
University of Louisville

John C. Reed, PH.D.
Associate Director,
Southern Police Institute,
University of Louisville

Harry W. More, PH.D.
Late Professor Emeritus,
Department of Justice Studies,
San Jose State University

Pearson

Vice President, Portfolio Management: Andrew Gilfillan
Portfolio Manager: Gary Bauer
Editorial Assistant: Lynda Cramer
Vice President, Product Marketing: Brad Parkins
Product Marketing Manager: Heather Taylor
Product Marketing Assistant: Liz Bennett
Director, Digital Studio and Content Production: Brian Hyland
Managing Producer: Jennifer Sargunar
Content Producer: Rinki Kaur
Manager, Rights Management: Johanna Burke
Manufacturing Buyer: Deidra Headlee
Creative Digital Lead: Mary Siener
Full-Service Management and Composition: Integra Software Services Pvt. Ltd.
Full-Service Project Manager: Yohalakshmi Segar
Cover Design: Studio Montage
Cover Photos: Sergey Novikov/Shutterstock
Printer/Binder: LSC Communications, Inc.
Text Font: 11/13 Times LT Pro-Roman
Cover Printer: Phoenix Color

Library of Congress Cataloging-in-Publication Data

Names: Vito, Gennaro F., author. | Reed, John C., author. | More, Harry W., author.
Title: Organizational behavior and management in law enforcement / Gennaro F. Vito, PH.D., Professor, Department of Criminal Justice and Southern Police Institute, University of Louisville, John C. Reed, PH.D., Associate Director, Southern Police Institute, University of Louisville, Harry W. More, PH.D., Late Professor Emeritus, Department of Justice Studies, San Jose State University.
Description: Fourth edition. | Upper Saddle River, New Jersey: Pearson Education, Inc., [2020] | Earliest edition entered under title; third edition entered under: More, Harry W.
Identifiers: LCCN 2018046348| ISBN 9780135186206 | ISBN 013518620X
Subjects: LCSH: Police administration. | Organizational behavior.
Classification: LCC HV7935 .O74 2020 | DDC 363.2068—dc23
LC record available at https://lccn.loc.gov/2018046348

1 19

Pearson

ISBN-13: 978-0-13-518620-6
ISBN-10: 0-13-518620-X

Dedication

This text is dedicated to two individuals who made significant contributions to criminal justice education and exemplified a true spirit of professionalism in the preparation of students. They coauthored previous editions of this textbook.

WILLIAM F. WALSH, PH.D.

William F. Walsh is the former Director of the Southern Police Institute and Professor Emeritus in the Department of Criminal Justice. He holds a BA in Behavioral Science, an MA in Criminal Justice from John Jay College of Criminal Justice, and a Ph.D. in Sociology from Fordham University. A former Lieutenant with the New York City Police Department with 21 years of service, he has researched police and security issues and authored several articles in scholarly journals, monographs, book chapters and books on police administration, supervision, and management.

Before joining the University of Louisville, he served on the administration of justice faculty at The Pennsylvania State University, where he received the National Continuing Education Association Faculty Service Award in 1988. He has been a consultant to numerous United States law enforcement agencies and the national police forces of Hungary and Romania. The Academy of Criminal Justices Sciences awarded him the O.W. Wilson Award for his outstanding contributions to police education, research, and practice in 1999. In 2003, he received the Governor's Award for his contributions to Kentucky law enforcement. He was awarded the Melvin Shein Award by the Kentucky Law Enforcement Council in 2004 for Distinguished Service to the Kentucky Police Community. In 2006, he was named the first recipient of the James J. Fyfe Award for a lifetime of service and scholarship to the law enforcement profession by the Police Partnership of New York City. In 2008, Mayor Jerry E. Abramson of the city of Louisville, Kentucky, presented him with the Community Partnership Award for his services to the Louisville Metro Police Department.

Bill Walsh is our valued friend, mentor, colleague and collaborator. His knowledge guided our development and education as scholars of policing. His contributions to the Southern Police Institute influenced the careers of a generation of police administrators and impacted policing in our world. His influence on the fourth edition of this textbook is notable.

HARRY W. MORE, PH.D.

Harry W. More was Professor Emeritus at San Jose University where he served as chair of the Administration of Justice program. He held a B.S. in Criminology from the University of California at Berkeley, an M.S. in Public Administration from American University, and a Ph.D. in Political Science from the University of Idaho. His first teaching position was at Washington State University. Also, he was the founder and chairman of the Department of Criminology at Indiana University of Pennsylvania. He served as a juvenile probation officer and a Special Agent in the U.S. Secret Service.

Active in professional organizations, Dr. More served as President of the Western Society of Criminology and received its Fellows Award in 1978. He was elected President of the Academy of Criminal Justice Sciences in 1980.

Harry More was an acclaimed scholar, publishing numerous articles in professional journals. His textbooks influenced the development of American police management—*Effective Police Management* (co-authored with Terry L. More) and *Effective Police Supervision* (co-authored with Larry Miller and Michael Braswell). The scholarship and contributions of the late Professor Harry More bolster the creation of the fourth edition of this textbook.

Contents

4

5

6

10

11

12

Foreword

Gennaro F. Vito, Ph.D.
Professor
University of Louisville

This text is the third revision of the original text. I found the first edition as I sought to find an organizational behavior textbook for a course offered in the Administrative Officer's Course in the Southern Police Institute at the University of Louisville. Then known as *Police Behavioral Management*, it filled the bill – a text covering organizational behavior from a law enforcement point of view. I was new to the AOC faculty but familiar with the subject due to my education in public administration and courses offered at The Ohio State University by Orlando Behling. The original text covered all the major topical areas and offered the bonus of case studies for classroom analysis and discussion. The use of case studies was a key feature of my education and provides students the opportunity to apply their knowledge to real-world situations.

Throughout the revision, we maintained these features and updated theoretical and research findings. Professors More and Walsh drew upon their professional experience as law enforcement administrators as well as university educators. Thus, they were a part of a distinguished group of distinguished police educators, including August Vollmer and his protégés – V.A. Leonard, O.W. Wilson and John P. Kenney as well as contemporaries such as Bruce Smith. My instruction also benefitted from studying the works of professors who contributed police administration and management – Gary Cordner. James Fyfe, Thomas Barker, Robert W. Taylor, Larry Gaines, and Paul Whisenand.

I have been involved in the education of in-service police students from the very start of my career. It began with a research methods seminar, certified under the California Peace Officers' Standards and Training program as a faculty member of the criminal justice department at California State University Long Beach. At Temple University, the department offered classes that were a part of the Philadelphia police academy training for rookies. I quickly learned in-service police students were quite different from my typical undergraduate students. They had little patience for material that was not relevant to their day-to-day work life. However, they were keenly interested, involved, and willing to share their experiences in the classroom.

We prepared this edition with these desires in mind. It represents our review of the state of the art in law enforcement management and organizational issues. We hope our audience will continue to find it useful as they deal with problems in their everyday work lives.

Preface

Management in contemporary police departments is constantly in flux. Police management has a rich history that is, for the most part, an integration of knowledge developed originally in the private sector. Most law enforcement agencies have evolved from a highly political style of policing to a more professional model and are currently developing a style based upon community and strategic policing. Within this context, police managers have become increasingly aware of social and individual behavior in the organization. When the quality of working life within the organization is good, it is easier to attain organizational goals and accommodate individual needs. The creation of positive relationships between line officers, between groups within the organization, and between police managers at every level is critical to the success of any police department. Police managers must recognize the ecology of the organization, accepting it as a dynamic social system. We focus on organizational behavior as a means of understanding both the complexity of the criminal justice organization and the interaction between officers and managers as they work to resolve community problems.

New to This Edition

This revision was intended to integrate new research into an organizational behavioral approach to police management and demonstrate the relationship between research in this dynamic and changing field and its application to the discipline. The text focuses on the discussion of problems and issues confronting contemporary police leaders. Also, it considers the interaction of police officers with the organization and the community. The substantial content revision includes:

- A reorganization of chapters as a result of comments rendered by reviewers. References and readings are current. The text contains new learning objectives with key terms listed at the front of each chapter and rendered as bold throughout the text to guide the student.
- Chapters feature classic and recent materials on organizational behavior. The issues examined are vital to the successful development of law enforcement agencies. New materials from on private sector management scholarship focus on leadership, decision making, and change.
- The text features 38 case studies based on law enforcement issues from the field. They provide instructors with materials to foster class discussion and analysis.

Today's police managers have to develop behavioral and social skills to deal effectively with a rapidly changing community and with the new generation of police officers. The modern police executive must integrate each member of the organization into the managerial process so that the organization can improve both its internal and external adaptive capabilities. Chapter 1 is the core to understanding the historical and managerial development of police organizations. The instructor should make every effort to emphasize the complexity of organizational development and managerial responsibility. Chapter 2 covers the integrative variable in a behavioral text namely –leadership. The second group of chapters (3–10) deals with the organizational processes. To deal with truly changing an organization, the student should understand the relationship between personality, beliefs, values, attitudes, motivation, and stress to individual and organizational behavior. The final chapter (12) emphasizes the interactive process in the organization – change. Regardless of the way the instructor decides to use the text and this manual, it should be used to maximize student learning. An effort is made in these chapters to present information that provides a real understanding of behavior in the organization.

We are also concerned with social behavior and organizational processes. Chapters consider key elements such as decision making (Chapter 8), power (Chapter 9), communications (Chapter 10), groups and the group process (Chapter 11), and the aspects of

organizational change Chapter 12). The text presents behavioral theories and applies them to law enforcement organizations and the problems they face. We intend to help current and potential police managers understand the different beliefs and assumptions they hold about themselves, others, the organization, and the community.

Our goal is to emphasize the importance of human behavior and its relationship to organizational processes. The transition from theoretical to practical has been accomplished by providing numerous realistic examples throughout the text and by the inclusion of current organizational behavior research. Also, we offer real case studies to stimulate class discussion and active learning. Tables and figures amplify and reinforce important points discussed in each chapter. In addition to a Summary, each chapter has sections entitled: Learning Objectives, Key Terms, Discussion Topics and Questions, and For Further Reading. Each of these features makes the text user-friendly and provides a range of activities to maximize instructor and student interaction. Lastly, the text has been written using an informal writing style. The experience of the authors is that students respond to it with a great deal of enthusiasm.

Organizational Behavior and Management in Law Enforcement is also the product of our instruction in the Administrative Officers' Course (AOC) in the Southern Police Institute at the University of Louisville. The discussion and issues raised by our law enforcement manager students illuminate our scholarship.

Instructor Supplements

Instructor's Manual with Test Bank. Includes content outlines for classroom discussion, teaching suggestions, and answers to selected end-of-chapter questions from the text. This also contains a Word document version of the test bank.

TestGen. This computerized test generation system gives you maximum flexibility in creating and administering tests on paper, electronically, or online. It provides state-of-the-art features for viewing and editing test bank questions, dragging a selected question into a test you are creating, and printing sleek, formatted tests in a variety of layouts. Select test items from test banks included with TestGen for quick test creation, or write your own questions from scratch. TestGen's random generator provides the option to display different text or calculated number values each time questions are used.

PowerPoint Presentations. Our presentations offer clear, straightforward outlines and notes to use for class lectures or study materials. Photos, illustrations, charts, and tables from the book are included in the presentations when applicable. To access supplementary materials online, instructors need to request an instructor access code. Go to **www.pearsonhighered.com/irc**, where you can register for an instructor access code. Within 48 hours after registering, you will receive a confirming email, including an instructor access code. Once you have received your code, go to the site and log on for full instructions on downloading the materials you wish to use.

Alternate Versions

eBooks. This text is also available in multiple eBook formats. These are an exciting new choice for students looking to save money. As an alternative to purchasing the printed textbook students can purchase an electronic version of the same content. With an eTextbook, students can search the text, make notes online, print out reading assignments that incorporate lecture notes, and bookmark important passages for later review. For more information, visit your favorite online eBook reseller or visit **www.mypearsonstore.com**.

Acknowledgments

Numerous individuals and organizations contributed to the completion of this textbook by either providing material or granting permission to reproduce material contained in other publications. We want to thank the following people, who provided the information utilized in the preparation of *Organizational Behavior and Management in Law Enforcement:*

James Beeks, Sr., Kennewaw State University; Phoenix University; Andrew Gulcher, El Camino College; Patrick Webb, St. Augustine's University; Donald R. Burr, Retired Councilman, Campbell, CA; James D. Sewell (retired), State Department of Law Enforcement, FL; Gary Leonard, Chief (retired), Sandy City, UT; William J. Winters, Chief (retired), Chula Vista, CA; Joseph McNamara, Hoover Institute, Stanford, CA; O. Ray Shipley, Chief (retired) Medford, OR; Director, U.S. Secret Service, Washington, DC; Louis A. Mayo, Police Association; William Nay (retired), U.S. Department of Energy, Washington, DC; and Charlotte Police Department, Charlotte, NC.

We extend a special thanks to our many law enforcement officer students in the Administrative Officers' Course classes in the Southern Police Institute at the University of Louisville for their comments on previous versions of this textbook. Our three anonymous reviews provided very thoughtful and helpful analysis of the third edition of the text. Their comments and suggestions guided our revision of the manuscript.

Finally, we acknowledge the contributions of our fellow faculty members and the University of Louisville Department of Criminal Justice and Southern Police Institute for their thoughtful and sometimes informal discussions about organizational behavior and theory.

GFV
JCR
HWM

1

DYNAMICS OF MANAGEMENT

Managers and Organizational Behavior

Learning Objectives

1. Define *management*.
2. Identify and describe the management functions.
3. Identify and describe the three levels of organizational management.
4. Describe the skills managers use to achieve their objectives.
5. Identify the new emerging police manager's role.
6. Define what is meant by organizational behavior.
7. Identify the four types of behavior with which a police manager should be concerned.

Key Terms

controlling
control function
executive/strategic level
four primary functions of group behavior
individual behavior
interpersonal behavior
leading
learning organizations
line and staff managers
management
management functions
manager
managerial levels
managerial skills
middle management/administrative level
operational manager expectations
organizational behavior
organizing
planning
supervisory/technical level
technical/operational level

Police departments are government organizations that are created to provide public safety for defined jurisdictional areas such as towns, boroughs, cities, counties, or states. The Justice Department's Bureau of Justice Statistics reports there were 750,340 full-time sworn law enforcement officers, serving in a total of 17,398 state and local police departments in the United States.[1] Police officers are responsible for safeguarding lives and property, maintaining the quality of community life, and protecting the constitutional rights of everyone, regardless of political or social persuasion. They fulfill this mission by providing a variety of services that include responding to emergency calls for service, preventing crime, rendering first-responder aid, enforcing laws and ordinances, resolving disputes, regulating traffic, investigating criminal events, and arresting violators. A police department's chief executive and his or her management team are expected to provide organizational direction and performance oversight to achieve the department's mission effectively and efficiently. Police managers are responsible for the achievement of

organizational goals and objectives through the management of their employees' performance. The **direction** and oversight of employees are accomplished through a process that involves the following activities:

CASE STUDY Lieutenants Smits and Miles

In a large metropolitan police department, two sergeants were promoted to lieutenant at the same time, and both were assigned to the patrol division. Within six months, Lt. Marge Smits proved to be a very competent and effective manager. Unfortunately, Lt. Roger Miles was less than successful. Upper management is becoming genuinely concerned about Lt. Miles's inability to function as a manager. Capt. William Proctor is completing six-month reviews for each of the lieutenants and is truly perplexed about this situation. Both officers had performed outstandingly in their former positions, but Smits has risen to the challenge of her new position, while Miles demonstrates an inability to adjust to his.

Lt. Smits finds that the demands of her new position contrast sharply with what was expected of her when she was a sergeant. When she was a first-line supervisor, she was expected to function as an operational expert, focusing on the performance of her officers and leaving command or managerial decisions to upper management. Smits views her role as something entirely different than anything she has ever done; she relishes the interaction with the personnel she manages and the challenge of accomplishing goals and objectives through others. On assuming her new job, she immediately reviewed the personnel files for each of the supervisors and officers in her unit and became familiar with their knowledge, skills, and abilities. Utilizing this information, she has little difficulty in attaining unit objectives, starting to identify individual weaknesses and working with her supervisors to improve employee performance. When officers accomplish organizational objectives, she has her supervisors give them immediate feedback. She works diligently to improve her coaching skills and provide positive leadership.

Roger Miles, who had an exceptional record in his previous position, is clearly lost as a lieutenant. His primary concern is to scrutinize every officer's performance to such an extent that he can always find an error or omission. In each instance, the supervisor and the officer is made aware of inadequate performance. Lt. Miles intensifies his managerial control by paying careful attention to every incident and report. Nothing is too small to correct. As a result, he undermines the role of his supervisors, and unit objectives fall by the wayside. His intensive supervision dominates the relationship between Lt. Miles, his supervisors, and the officers in the unit. Miles does not tolerate errors because he believes they reflect poorly on his leadership skills. Lt. Miles personifies the "See Me" syndrome where subordinates find their mailboxes filled with memos asking for further information or clarification. The officers have reached the point where it seems to be more important to respond to memos than to perform police work.

Lt. Smits is functioning as a manager. Lt. Miles is performing as an organizational enforcer. Capt. Proctor prefers the former. Management is a unique activity requiring the application of distinct skills. Lt. Miles feels comfortable performing tasks best done by first-line supervisors. The situation in which Lt. Miles finds himself is typical. It continually challenges managers such as Capt. Proctor. This dilemma demands a solution.

Capt. Proctor expects Lt. Miles to accomplish departmental goals through the supervisors and officers he is managing and to refrain from performing nonmanagerial tasks. What should Capt. Proctor do to get Lt. Miles to perform as a manager? Some managers feel this is "Who Wants to Be a Millionaire?" question—one that is easy to ask but difficult to resolve. Our purpose here is to help you understand why such leadership problems arise, how they can be analyzed, and what techniques are available to resolve the problems.

To understand why an employee does not perform at their assignment level (or performs inadequately) will probably require a manager not only to view the employee as an individual but also to examine his or her relationship to the group and the organization.

What is the responsibility of Capt. Proctor in this case? How should he begin to analyze the performance of Lt. Miles? Does Lt. Miles need training? Does he need additional mentoring or resources to accomplish his job? These questions illustrate the complex problems managers encounter.

This case focuses on the reality of how and what occurs in an organization. Employees adapt to their position differently. Police managers must learn to analyze their employee's performance problems and develop a plan to correct existing problems.

1. Developing a departmental mission, vision, goals, and operational objectives
2. Creating strategic, operational, procedural, tactical, and budgetary plans
3. Creation of an organizational structure focused on ensuring fulfillment of mission and performance objectives
4. Employment of a leadership direction and style that, while focused on mission fulfillment, will also achieve willing compliance and support from employees of the department and members of the community
5. Controlling and assessing departmental activities through measurement, evaluation, and—when necessary—redirection
6. Ensuring that all members of the department are competent and adhere to the highest standards of integrity and ethics

The importance of this managerial process is vital. It is hard to imagine any department operating effectively without it.

Police departments are characterized by authority relationships and a division of labor that, depending on their size, can be simple or complex. Research has consistently found that police work influences the behavior of those who perform it.[2] Through their daily work, officers can develop a sense of pride, belonging, and accomplishment or they can experience hostility, anger, stress, and frustration. Organizational design and management styles can enhance, limit, or inhibit employee coordination, cooperation, and mission fulfillment.[3] However, managers must understand the effects of individual behavior on their organization as well as the impact of the organization on individual and group behavior. The more managers understand their role and the impact of human behavior in the work setting, the more effective they will be in achieving organizational objectives.

Police managers are becoming increasingly aware of the need to understand human behavior in the workplace. Through the study of organizational behavior, they can begin to understand not only why organizations are such complex entities but also how their behavior as managers and their interaction with their officers can affect the organization.

Management Defined

A **manager** is a person who plans, organizes, leads, and controls the work of others so that the organization achieves its goals.[4] The manager serves the critical function of linking the organization's mission, its desired goals, and its operational accomplishment. In this text, we define ***management*** as *a continuing process that includes all activities focusing on the identification, improvement, and attainment of objectives by the application of organizational resources.* Management is also a behavioral relationship between managers and their employees.

This definition is dynamic, and based on the fundamental concept, positive management of a police organization is the only way of maximizing the effectiveness of resources, both human and technical, to achieve departmental goals. It defines the concept of managing regarding what managers *do* and their relationship with those they manage.

Management Functions

Our definition of management can be accepted and understood much more readily through an understanding of the responsibilities of a manager. The primary purpose of all managers is to achieve results effectively and efficiently through the individuals under their command. In addition to achieving performance results, the police manager is also responsible for the achievement of results. The sensitivity of the police role, in a democratic society with its legal constraints on police use of authority, means that the method used is as important as the ends achieved. Accountability for the conduct of subordinates is such an important managerial function that it is usually clearly defined in department manuals and guidelines.

Four primary functions represent the types of activities managers engage in to fulfill the responsibilities of their positions. These basic functions include planning, organizing, leading, and controlling, which are similar to those identified by Henri Fayol in the early 20th century. The time spent on each activity will vary, depending on the managerial level within the organization. However, these functions are part of all managerial levels, and they must be performed to some degree on a continuing basis if the department is to function effectively.

1. **Planning**. A plan is the careful development of activities to achieve desired goals or control projected conditions.[5] Planning involves the translation of mission, vision, and unit goals into specific operational objectives and the identification of the resources needed to achieve these objectives. It is a problem-prevention as well as problem-solving activity that prepares the department for the future. Police departments operate in demanding and changing environments. They cannot function effectively if they consistently maintain the status quo. They should not be required to continually respond to one crisis after another due to a lack of planning. Police managers must be aware of and evaluate external and internal environmental forces affecting their departments. Managers plan to develop strategies and methods for addressing the demands these environmental

forces place on their organizations. For example, negative economic indicators may forecast future budgetary reductions by the municipality. Police executives aware of these indicators will plan to adjust their budgets to maintain operational services. Executives must continually evaluate plans and alter them to meet changing conditions.

One plan will not accomplish all things. Police departments develop a variety of plans that address issues associated with operational control, procedural requirements, tactical strategies, fiscal accountability, personnel allocation, and managerial projects. Planning is an organizational necessity that must be strongly supported by the police executive if it is to be effectively supported throughout the department. It allows the manager to answer the following questions:

1. What should be done?
2. When should it be done?
3. How should it be done?
4. Who should do it?

2. **Organizing**. The organizing and coordinating function of management involve the structuring of an organization and the deployment of resources designed to achieve the organization's goals and objectives. Management organizes to achieve the alignment of strategy, structure, process, information systems, reward systems, employees, and operational service delivery.[6] Organizing is necessary to establish accountability, distribute the department's workload and resources logically, and create a mission-focused, unified organizational effort.

In policing, the decision to group-related activities usually takes into consideration such variables as the major purpose of the activity or function, the services demanded, the process or method to be utilized to achieve objectives, the nature of the clientele, the geographical distribution, and time. Most of these factors operate simultaneously. A well-organized department acts as a unified team, with each unit focused on mission accomplishment and service to the community. Organizational structure should support the department's strategy. The organization's mission should guide how the department is organized to achieve maximum effectiveness.

Police departments depict their organization structurally with a chart. The chart shows the organization's line of authority known as the chain of command. The department's chain of command displays each managerial position and the units under that position's authority. It depicts what each managerial position is accountable for and to whom each unit is responsible.

3. **Leading**. Managerial leadership is the ability to influence others to perform their duties willingly. It is the essential function for the achievement of a department's mission, goals, and objectives. Managers must provide leadership at all levels of the police agency. Managers are ultimately judged by the quality of their leadership as reflected in the performance of their subordinates. The complexity of relationships between managers and police officers requires unique insight and a special awareness of individuals, groups, and the needs of the department. Leaders must have an understanding of their department's driving forces, resources, and positive motivational factors (not fear). Leadership is a social contract predicated equally on the leader's desire to lead and on the consent of those led.[7]

Police managers must work with and through people to establish a positive organizational culture focused on mission accomplishment. All managers must maintain a serious and continuing effort to direct the creation of a results-oriented working environment. However, they will fail without employee support and commitment. The manager who strives on a daily basis to provide leadership and build a relationship of trust and respect with his or her employees will find that it is contagious and that the officers will respond to their positive direction. Successful leaders, by their daily actions, convince their subordinates that the interests of leader and subordinates are the same. Given the right leadership, people can achieve remarkable results.

4. **Controlling**. Controlling involves establishing goals and objectives, fixing accountability, creating policy and procedures, setting performance standards, comparing actual behavior with objectives, procedures and standards, and then taking corrective

action where needed.[8] All police managers are accountable for the competency and commitment of the people they command. It is the managers' responsibility to know what is happening with the resources, both technical and human, entrusted to them by the organization. Managers must check on progress to determine if previously agreed-upon objectives have been attained. The **control function** involves the following activities:

1. Identifying goals and objectives
2. Establishing accountability for their accomplishment
3. Developing and maintaining performance standards
4. Monitoring performance
5. Evaluating personnel
6. Rewarding when appropriate
7. Disciplining when necessary

Control begins at the level of monitoring the performance of the subordinates who are accountable for accomplishing the tasks. However, the manager must ensure that those subordinates clearly understand what they are to accomplish and that they have the knowledge, skills, and ability to perform their duties. To achieve control, managers must properly inform, train, and make their subordinates aware of the level of performance expected. Managers must communicate their expectations and provide training when necessary. Monitoring performance is essential to control. Effective managers obtain, and share with superiors and subordinates, the hard data needed to review operational progress. Data-based management uses fact, not a subjective opinion, in the evaluation of individual performance and results. When conditions change, or when specific deviations from previously agreed-upon standards are identified and measured, managers must take corrective action. Data-based management is a core foundation element of strategic management and the operational strategies of CompStat and Intelligence-led policing.

One example of the control function is the follow-up and assessment of operational tactics and their results. During CompStat's department-wide crime-control strategy meetings, executives review what operational managers have achieved with their crime-control strategies. These meetings are designed to identify what a successful tactic or strategy is and what is not. By knowing how well a particular tactic worked on a specific crime or quality-of-life problem and by knowing which specific elements of the tactical response worked, managers are better able to construct and implement effective responses for similar problems in the future. This control process also allows for the redeployment of departmental resources to meet newly identified problems.[9] The four managerial functions discussed earlier are not mutually exclusive, but they are highly interrelated. They do not necessarily occur in the sequence we listed but can happen at the same time. Managers must be aware of the following factors affecting the performance of these functions:

1. Changing environmental demands
2. Managerial knowledge and competence
3. Organizational level
4. Nature and type of activity
5. Knowledge, competence, and commitment of employees

In response to a federal consent decree, the New Orleans Police Department (NOPD) developed an automated data management system (MAX—Management Analytics for Excellence) to monitor compliance with the decree's requirements. Audits were conducted monthly to hold NOPD leadership accountable for reforms. NOPD officials collected data on such issues as body camera use, custodial interrogation compliance, appropriate use of force, and police–citizen interactions. The MAX system established compliance checks by developing electronic forms, tracking systems, and management meetings to review the results.10

Domonske (2006, p. 326) defines police management as "the study of the management of discretion in the regulation of community conflict."[11] Discretion is a significant

component because line police officers must attempt to control the behaviors of persons violating the criminal law under the constraints of rapid response—including deciding to make an arrest including the possible use of physical force. Line officers need direction in making these decisions via training in departmental policy.

Managerial Levels

Police organizations vary in size and complexity, from micro-departments with fewer than 25 officers to multilevel macro-departments employing a thousand or more people. The number of managerial levels increases when organizations are large and complex. In a very small police agency, the chief of police and one sergeant will often be the only managers; in a very large agency, there can be 15 or more managers at the executive level alone. In general, all organizations have three distinct but overlapping **managerial levels**: the executive/strategic level, the middle management/administrative level, and the **supervisory/technical level** (see Figure 1–1).

Police managers at the **executive/strategic level** have a variety of titles, such as commissioner, director, chief, colonel, or superintendent. They are assisted by other top-level managers who have titles such as assistant chief, deputy chief, assistant director, deputy commissioner, colonel, or lieutenant colonel. These senior administrators deal with strategic issues, on the order of how the goals and objectives of the department interrelate with the needs of government and community. Police chiefs are increasingly expected to conceptualize and define the role of their departments in the communities they serve. The police executive's role is inherently political because he or she is appointed by the controlling governmental authority and represents the department to that authority and the community.[12] In many departments, the chief executive occupies a demanding, high-profile position and must be available 24 hours a day, seven days a week.

Managers at this level are primarily responsible for organizational effectiveness and efficiency. They accomplish these objectives by planning, setting direction, maintaining organizational integrity, creating goals, developing policies, ensuring fiscal accountability, and responding to political and community inquiries. A key requirement for police executives is leadership: The organizational direction they develop must effectively meet current organizational and community needs while simultaneously preparing to meet future needs.[13] Police executives must be willing to challenge their organization's status quo while at the same time establishing a direction that will lead to present and future effectiveness to accomplish their

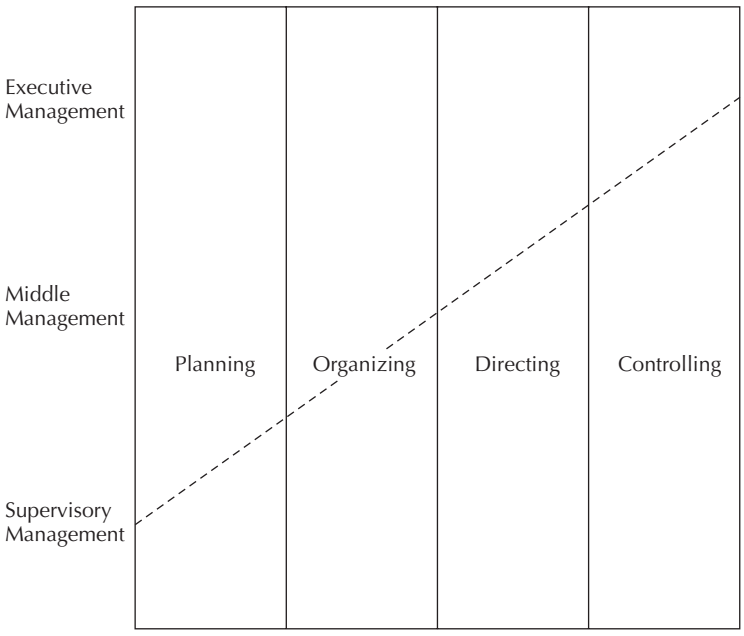


Figure 1–1
Relationship of Level of Management to Functions Performed.

leadership role. An assistant chief, second in command, normally functions as the alter ego of a police chief executive and is a key figure in the management team, with in-line administrative responsibilities. Generally, deputy chiefs are responsible for supervising major functions such as line operations, technical services, investigations, or staff services. They may recommend goals and objectives; assist in the development and administration of policies and procedures; manage, direct, and organize operational services; and conduct internal investigations as directed by the chief executive.

Managers at the ***middle management/administrative level*** in policing are captains, lieutenants, or civilian managers in administrative positions. They manage divisions or units carrying such titles as patrol, traffic, records, communications, personnel, or research and development. Managers at this level are responsible for interpreting policies and procedures and for creating programs that translate departmental goals into the day-to-day tasks of operational units. They are responsible for converting the chief executive's vision into operational reality. These managers organize, coordinate, and control departmental resources and personnel. In the exercise of their control function, they evaluate supervisory accountability and unit performance.[14]

In their analysis of the administrative problems associated with the implementation of community policing, George L. Kelling and William J. Bratton contend that captains and lieutenants gained control of the practice, knowledge, and skill base of the police occupation during the development of the professional reform model of policing in the early 20th century. During this reform period, middle managers became the main proponents of centralizing control over the police organization's internal environment and operations.[15] Their success in establishing central control and their continuing role in exercising it make them the critical actors in the implementation of the organizational change required for the adoption of community policing and strategic management. Failure to win middle management's support was a primary contributor to the demise of team policing in the 1970s.[16] Malcolm K. Sparrow, Mark Moore, and David Kennedy identified six ways that police middle managers influence their organizations. First, middle managers operate at the boundary between knowledge and power in the department. Because of their positional authority, they translate the executive's vision and direction into operational strategies. Second, middle managers largely control the nature of the department's professional environment. The procedures they develop and the actions they take in dealing with subordinates define and reinforce the core cultural values of the department. These core values let the officers know what is and what is not acceptable operational behavior. Third, middle managers are the ones who can determine how employees view the department's procedural manual—as a means to justify command-and-control discipline or as a source of knowledge, guidance, and inspiration. Fourth, middle managers have the power to quash new ideas (and they have been routinely accused of doing so, especially ideas that they believe challenge their authority). Fifth, middle managers have the ability to define work in a way that encourages their officers to tackle harder, broader problems: They can empower their officers by letting them know that the organization values their knowledge and expertise. Finally, middle managers control the extent to which discretion can be built explicitly into the department's value system.[17] In summary, the middle managers' organizational position gives them the power to choose what they will do: passively resist, tolerate, or lend their support and lead in the reengineering of their organizations.

Kelling and Bratton suggest resolving the problem of mid-managers' resistance requires ensuring these managers become the department's leading edge for creativity and innovation. The chief executive officer can accomplish this by clearly articulating a strong vision of the business of the organization, its values and strategy. They must also involve the mid-managers in planning that direction, giving them space and freedom to innovate within their context. A new organizational direction requires support through resource allocation, administrative action, and emergent policies and procedures. Identify early successes and reward them. Failure must be acknowledged and resolved. By setting a clear direction with input and effort from the mid-managers in creating it, they become the organization's leading edge of innovation and creativity. As the chief executive of both New York City and Los Angeles police departments, William J. Bratton used this formula to great effect.[18]

The managers who operate at the **technical/operational level** of the department are the supervisors. Sergeant is the principal rank held, except for integrated police–fire organizations, where the title is lieutenant. They constitute the first level of management in the department. These first-line supervisors are generally held responsible for accomplishing short-term goals and exercising oversight of day-to-day operational activities.

Supervision of police personnel is the critical factor in achieving departmental performance objectives and officer compliance with procedures, policy, and law. It is each supervisor's responsibility to make certain that the individuals under his or her command perform their duties and accomplish organizational objectives according to law, departmental procedures, and ethical values. In the daily performance of their duties, supervisors make important decisions that affect the quality and manner of police operations—both the type of service provided to a community and the commitment and competence of the employees who provide that service. They also serve as the model of appropriate behavior and professionalism for their officers. Supervisors are the department's principal quality-control agents and significantly impact the effectiveness and financial liability of the law enforcement organization.[19]

Supervisors are accountable and responsible not only for their performance but also for that of their units: Their subordinates' accomplishments reflect their ability. However, a work unit's outcomes cannot simply be understood as the sum of individual performances. Work groups develop their dynamics, problem-solving processes, and cultures, which have an impact on their performance. The supervisor's success will depend on how effectively he or she can build a positive relationship of mutual respect and trust with his or her work unit.[20] In addition to managing their team of employees, supervisors are also part of the department's management team. Being promoted to a position on this team calls for a radical change in operational philosophy and outlook. Supervisors are required to develop skills and abilities that will allow them to manage the variety of people and performance challenges that occur daily in policing. Thus, becoming a supervisor requires that the new manager commence a personal and intellectual transformation that will change his or her organizational perspective, basic concepts of work, and relationships with others in the department. This adjustment takes time and effort. The supervisor is often required to exert authority over individuals who are his or her social and professional colleagues. In many departments, new supervisors find themselves supervising officers with whom they have closely worked with for years. Directing the performance of a former close colleague from patrol days is not an easy task.

The supervisors' organizational position places them in a unique and somewhat conflicting role. They are caught between two organizational worlds: management and operations, bosses and cops, and the office and the street. In some departments, these two worlds view each other with great hostility; in others, there is mutual respect and cooperation. Where the organizational climate is negative, this in-between position can be a source of conflict for the supervisor. The differing expectations of the two sides, if not understood and responded to correctly, can develop into contradictory pressures that create conflict and role ambiguity for supervisors.[21] Of the three managerial levels in police departments, the operational/technical (supervisory) level is the largest.

Part of this supervisory process is knowing when to assign blame. Baldwin identifies five important rules for placing blame:

1. Know when to blame and when not to.
2. Blame in private and praise in public.
3. Realize that the absence of blame can be far worse than its presence.
4. Manage misguided blame.
5. Be aware that confidence is the first casualty of blame.

Blame can be a powerful constructive force, teaching people to avoid repeating their mistakes, inspiring them to put forth their best effort, and maintaining their confidence.[22] Bad habits must be corrected to ensure effective organizational performance.

Line and Staff

Another way of viewing managers and the functions they perform is to distinguish between *line* and *staff*. ***Line managers*** have the authority to give orders to achieve organizational goals. ***Staff managers*** assist and advise line managers in accomplishing these goals. Recognizing the line/staff distinction is the initial step to take when a department arranges related functions under unified supervision and command. Once this step is accomplished, it becomes readily apparent how to allocate effort between the department's two principal functions: preparation for the delivery of police services and the actual delivery of those services.

The accepted classification of staff functions and line operations in police departments can be seen in Figure 1–2, which depicts the structure of a medium-sized department. Staff functions deal exclusively with supporting activities. In some larger agencies, they have been broken down into various administrative and technical services, but in all cases, the key is that they function to support line operations and the attainment of organizational goals. Line operations translate policy into action. Ultimately, the delivery of police services to the community is the responsibility of the line, but it is staff elements that provide the personnel, technical expertise, records, material support, and other services that enable the line to accomplish its job.

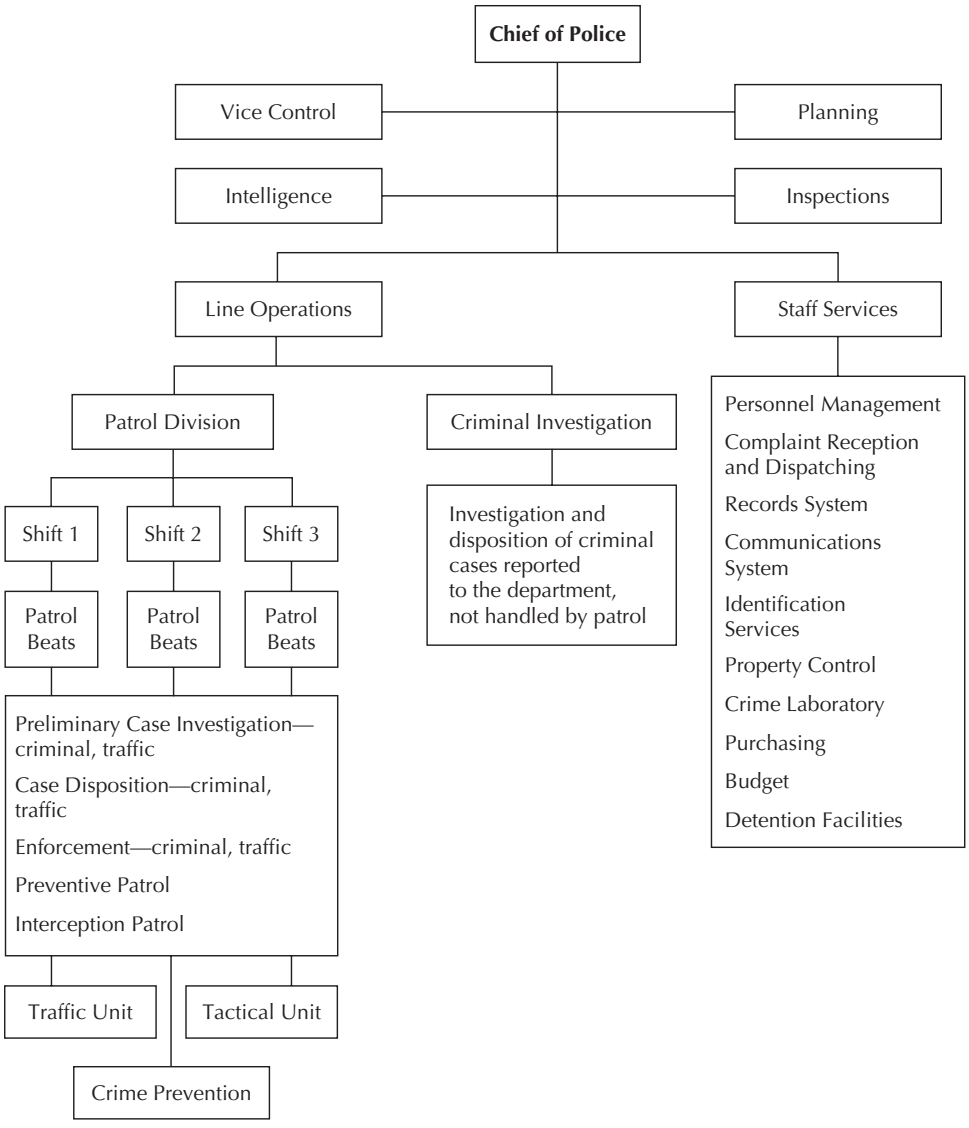


Figure 1–2
Organizational Structure of a Medium-Sized Police Department, Distinguishing Line and Staff.

The following list documents the variety of activities and functions of staff services:

1. Administrative Services
   Personnel
   Training
   Budget
   Community Outreach
   Research and Planning
   Crime Analysis
2. Technical Services Records
   Communications/Dispatch
   Property
   Crime Laboratory/CSI Units
   Prisoner-Holding Facility

The distinction between line and staff services allows for the orderly arrangement of elements within the structure of the police organization. Such an arrangement provides for clarification of lines of authority and the chain of command, and it facilitates the distribution of power and accountability within the organization. A clear distinction between the two allows each service to devote total energies to the accomplishment of its functional objectives.

The effectiveness of a police organization generally depends on the quality of working life within it. In the short run, managers can attain objectives by threatening employees (ordering them to do something or suffer the consequences), but experience has shown that in today's working environment, officers do not readily accept authoritarian management that uses coercion or executive fiat. Effective organizations have a positive working environment reflecting mutual respect, trust, and ethical relationships between managers and officers.

Managerial Skills

Successful managers not only have the right ability to know what they are supposed to do, but they also have the skills to accomplish their objectives. A ***skill*** is the capacity to translate knowledge into action leading to successful task accomplishment.[23] To achieve objectives and goals, which is what management is all about, managers need to have three essential kinds of skills—technical, human, and conceptual—and to exercise them effectively.[24]

Technical Skills

All managers must be technically proficient. This skill ensures the correct performance of specific duties. Craft experience, training, knowledge, operational procedures, laws, and techniques of policing are the bases of technical skills. Every police manager must be current on the changes in the law, policy, procedures, and standards of performance that affect themselves and their subordinates. All managers should also know how to create a plan, organize, lead, and control. Additionally, they must be skilled communicators because of the diverse groups and individuals they interact with on a daily basis during the performance of their official functions.

Every managerial position has technical skills directly related to its responsibilities. For example, the manager of an investigative unit has to be knowledgeable in such areas as case management, legal aspects of interviewing and interrogation techniques, proper utilization of informants, legal rights of suspects, and surveillance techniques.[25] CompStat and Intelligence-led policing require that operational commanders and managers have the technical knowledge to ensure that crime data are gathered constantly and analyzed quickly and accurately.[26]

Human Skills

This skill set involves working with people both within and without of the department. It includes understanding employee behavior being familiar with what motivates employees and how to utilize group processes to influence employee performance. Good human skills enable a police manager to provide necessary leadership and direction to his or her organizational unit and ensure timely completion of tasks with the least expenditure of resources. The interpersonal skills managers need include knowledge of human behavior and group dynamics, understanding of attitudes and motives of employees, and the ability to communicate clearly and persuasively.[27] Managers should know when to be diplomatic and tactful and when to hold fast to their position in dealing with people. Managers must know how to build positive interpersonal relationships with their employees, peers, superior managers, and stakeholders outside the organization. All of this requires the managers not only to possess knowledge and understanding of human behavior but also to employ this skill on a daily basis.

Conceptual Skills

Effective managers have more cognitive ability than less effective ones, and they are perceived as more intelligent by their subordinates.[28] Conceptual skills can help a manager take a system's view of his or her department's mission and goals. They help managers to understand the organization as a whole and assess the working relationships of its parts. When the interrelatedness of units and tasks is clearly understood, actions truly beneficial to the organization result. Coordination is enhanced, and effectiveness is the result.

Today's managers require advanced analytical and problem-solving skills to respond to the complex real-world problems they face. At the heart of this conceptual ability is an understanding and knowledge of cause-and-effect relationships. This skill permits the manager to move beyond the mere execution of tasks to confront and solve larger and more complex problems. The ultimate expression of this conceptual skill is the development of a highly trained intuition that allows the manager to know when to do the right thing at the right time.

Figure 1–3 lists the three skills required in varying degrees at each of the managerial levels. As we move up in the hierarchy, conceptual skills become more important and technical skills less so, but the common denominator for all levels of management is human skills. Supervisory managers, in particular, will find that human skills are a dominant factor in their working environment since for the most part they will be required to manage the work of others rather than perform technical tasks themselves. Executive managers will find themselves using conceptual skills extensively as they plan and make decisions affecting the entire organization and its future, but they too will be only as successful as their ability to attain goals and objectives through the efforts of others. The importance of human skills is strongly significant.

Managerial Role Expectations

A *role* is a set of behavior patterns expected of the person occupying a given position in a social unit such as an organization.[29] No matter what level of the organization they occupy, managers usually find themselves dealing with conflicting role expectations.

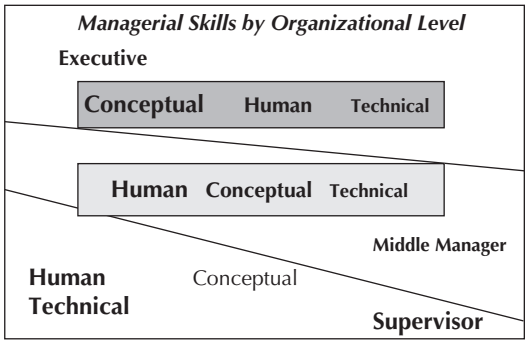


Figure 1–3
Managerial Skills by Organizational Level.

The police organization expects that the manager will act and make decisions on its behalf, but employees—who have their desires for fair treatment and their rights in the workplace—also expect the manager to act on their behalf.

More specifically, on the organizational side, every police manager is expected to be competent, loyal to his or her department and its mission, and committed to the department's goals and objectives. The manager is expected to be in command of his or her organizational unit, to be accountable for the employees assigned to the unit, and to achieve results. This means that the manager must have a clear understanding of the department's mission, vision, policy, procedures, and objectives.

On the employee side, police officers expect support, respect, and fair treatment from their managers. They expect their managers to understand them and treat them in a rational, consistent manner. The interrelationship between managers and employees forms the foundation for mutual trust and respect. Management based on mutual trust and respect is the most effective way to deal with people. How managers act toward their employees, while responding to the needs and demands of the organization and display competence as a manager, is critical to their success. The potentially competing expectations listed later can be sources of uncertainty and stress for the manager, but it is important to understand that between them, these two lists present all the essential elements of good leadership.

Police organizations expect managers to do the following:

1. Manage day-to-day operations.
2. Work for the attainment of organizational objectives.
3. Maintain a well-trained, motivated work unit.
4. Use authority responsibly.
5. Adhere to and administer the department's policies and procedures.
6. Keep superiors, employees, and peers informed.
7. Identify and prevent problems as well as solve them.
8. Be creative and flexible.
9. Provide leadership and use initiative.
10. Be accountable.

Police employees expect their manager to do the following:

1. Make them aware of performance expectations.
2. Give them timely and accurate feedback about their performance.
3. Recognize and reward good performance.
4. Listen to them.
5. Provide them with the opportunity to grow and develop in their positions.
6. Treat them equitably and fairly.
7. Use authority appropriately.
8. Provide support, resources, knowledge, and understanding.[30]

Managers at different levels in the organization handle each set of expectations differently and to different degrees of intensity. Lower-level managers spend a great deal of time concerned with employee needs and expectations, whereas police chief executives are more apt to concentrate on the organizational expectations. In every instance, the manager's personality may affect *how* a role is performed but not *whether* it should done.

The New Emerging Police Management Role

In police organizations during the professional reform era of the early 20th century, the primary function of the manager was to control operations and personnel. Managers sought guidance and direction from their department's policy and procedures manual. Whenever an employee asked for direction in a situation, the standard response was,

"Do as the policy and procedures manual directs you to do." If a situation does not coincide with a rule or procedure, create a new one to prevent future problems. The prime directives of the police manager aimed at maintaining the status quo through oversight and control.

However, substantial societal change has challenged earlier methods of police administration and management. Police departments are restructuring and experimenting with strategic management processes to respond more effectively to the forces of change. The emergence of community problem-solving policing, CompStat and Intelligence-led policing, has resulted in the development of a new set of roles for police managers. Today, the primary role of the police manager is to be effective and achieve results. Managers are expected to be more analytical in managing organizational problems. They are expected to have positive people skills. However, managers must also know and accomplish the tasks necessary to meet organizational objectives.[31]

Effective organizations are ones in which people work to their full potential to achieve the mission. Peter Senge[32] identifies effective organizations as those that are skilled at creating, acquiring, and transferring knowledge and at modifying their behavior to reflect new knowledge and insights. He calls organizations that do this and develop the intellectual capabilities of their people "double-loop **learning organizations**." Double-loop learning involves questioning basic operating assumptions, entertaining different approaches, and experimenting with different arrangements. Managers in these organizations are creative and open to new information; they are system thinkers and self-confident learners. In contrast, adaptive or "single-loop" learners focus on solving problems in the present, without examining how these problems may affect the entire police department or its future.[33] Senge's theoretical construct appropriately describes the managerial processes that are developing in policing as a result of the emergence of the new strategic policing era.[34] A variety of organizational adaptations of CompStat and Intelligence-led policing are currently taking place throughout the United States, Canada, and Europe. Each adaptation is a system that first identifies and focuses on emerging crime trends or quality-of-life issues and then attempts to effectively and efficiently use operational resources to control these trends. CompStat reinforces the long-held managerial value of maximizing every asset of the organization, including each employee.[35] Intelligence-led policing uses data analysis to enhance the decision-making process, shift resources as needed, and ensure that law enforcement resources are best utilized to (a) target specific criminals and criminal operations that promise the greatest results in crime reduction and (b) create more opportunities to prevent and disrupt crime before it occurs.[36]

Strategic management uses organizational strategy to unite the decisions and actions of executives, operational commanders, and frontline officers into a coordinated and compatible pattern. In this process, the crafting, implementing, and execution of operational strategies become critical managerial functions. Another critical management function in this type of organization is the capacity to manage human intellect and to apply it to useful organizational activities.[37]

Strategy is the means by which an organization responds to environmental conditions such as crime, disorder, citizen demand, and public safety. Strategy development must consider the critical managerial issue of how to achieve performance objectives, given an organization's capabilities and resources. Objectives are the ends, and strategy is the means of achieving these ends. An organization's strategy should be both proactive (intended) and reactive (adaptive)—a combination of planned actions and on-the-spot reactions to unanticipated changes in conditions. An organizational strategy is something that is shaped and reshaped as events take place and operational demands change.

For CompStat and Intelligence-led policing to be successful and for police departments to become effective **learning organizations**, operational managers must be empowered with authority to develop clear, effective tactics to address crime and quality-of-life conditions in their operational areas. Managers must be flexible and ready to change their plans when crime conditions change. Intelligence-led policing aims to ensure that a department's resources are targeting specific crimes and individuals who are contributing to community disorder. Like CompStat, it is a department management strategy that

supports managerial decision-making based upon data collection and intelligence analysis to improve crime-control strategies. Intelligence-led policing and CompStat require that all operational managers be accountable for the following:

- The quality of their plans
- The quality of their efforts toward crime reduction
- Their managerial oversight of operations (including evaluation and feedback) and results obtained

For these strategic processes to be successful, a department's management must develop an ongoing process of rigorous follow-up to assess the achievement of performance results. Executives, as well as operational managers, must constantly follow up on and evaluate results. Evaluation makes it possible to assess the viability of particular strategic responses and to incorporate the knowledge gained into subsequent strategy development efforts. By knowing how well a particular strategy worked on a problem, and by knowing which specific elements of the strategy worked most effectively, departments will be better able to construct and implement effective responses for similar problems in the future. The follow-up and assessment process also permits the redeployment of resources to meet newly identified challenges once a problem has abated. **Operational managers** are expected to follow up on tactics and deployment by the following means:

- Getting out of their offices and seeing what conditions and operations are really like in their areas of responsibility
- Asking the operational personnel questions about current cases of interest, crime patterns, or situations requiring attention
- Reviewing crime reports daily
- Paying special attention to daily reports of serious crime
- Reviewing crime analysis materials (daily or weekly, depending on production schedules)
- Communicating daily with operational personnel about crime conditions
- Frequently discussing specific cases and crime conditions with their subunit managers and key personnel

Eli B. Silverman[38] has identified CompStat as an agent of organizational change that generates key reform processes such as new strategies, reengineering, and reorganization. In his view, CompStat serves as the glue that binds all these changes together because it involves double-loop learning. CompStat Crime Strategy meetings are forums where creative problem solving takes place and turned into action. Crime Strategy meetings lead to the discovery of difficulties and obstacles, clarification of positions, ownership and responsibility demanded, problems diagnosed, alternative strategies designed, and solutions defined and delivered. CompStat lets agency managers at all levels see their results every week and permit them to change tactics and deployment based on what they see and know. Because of this double-loop learning process, a deeper organizational transformation takes place. CompStat differs from Intelligence-led policing because it is a total management process that forces police managers at all levels of the organization to be concerned with how they and their units are contributing to the department's mission. Intelligence-led policing has a broader problem range and more specific offender focus than CompStat. Both strategies required a managerial skill set that involves utilization of information management, planning, strategy development, measurement, and ongoing communication. The department's executive team must be able to help operational managers develop strategies and tactics to meet objectives. Both of these levels of management must be able to accept failure and, rather than punishing staff for it, use it to modify or replace tactics. The ability and willingness to reallocate resources, support creative solutions to problems, track progress, and integrate functions within the agency require a strategic management orientation similar to that found in successful business organizations.

Organizational Behavior

It is clear from the preceding discussion that management is a people-related function. Organizations are made up of people; they are not collections of interrelated mechanical parts. Managerial success and organizational effectiveness depend on how well managers

understand human behavior in the workplace. If police managers are to be effective, they must pay increasing attention to the interpersonal aspects of their managerial roles. More and more police agencies expect managers to develop operational strategies and strategic management practices that depend on other individuals to be effective.

Work is a fundamental and natural aspect of everyday life in our society; it is central to our social, economic, and psychological existence. An adequately paying job provides not only the necessities of life but also a sense of personal identity and accomplishment. Most people describe themselves regarding a work group or organization. Police officers are no different. They define their identities through their work. Achieving work-related goals is just as important to most officers as material rewards.

Personal interaction in organizations gives members a sense of belonging. In the case of police departments, the result is a social bond unique to the police culture. The sharing of duties and responsibilities heightened by the presence of danger generally results in officers becoming strongly committed to police work, which for them is more than just a job. Properly accomplished tasks provide a feeling of well-being and fulfillment.

Police managers have great success when managing highly motivated employees. However, not all officers fit into this category. There is no simple explanation of why some employees are highly productive, and others are not, any more than there is of other aspects of human behavior. Why employees do what they do and why the same situation can provoke different responses are relevant questions. Some theorists argue that participation in the decision-making process is the answer to the problem of motivating employees.[39] Unfortunately, some previously highly motivated individuals prefer to follow instructions and not be involved. Other experts recommend continuous communication from top management. They posit that effective communication tends to encourage better performance and leads to job satisfaction.[40] Some employees respond positively to this technique and want to know what is going on. Others seem to care less and only want to hear from the top when the message has to do with compensation or perks. Human behavior is a complex phenomenon.

Police managers are increasingly aware of the need to understand human behavior in the workplace. They generally have a definite view (usually based on personal experience and observation) of how officers behave within the organization. Views based on myth or misinformation lead to less productive and less efficient employee relations. Such misunderstanding causes managers waste time and effort on personnel performance issues.

Through the study of organizational behavior, we can begin to understand not only the complexities of organizations but also something about managerial behavior and the interactions between officers, managers, and the organization. Such study will also help us develop a better work-related understanding of ourselves and other people.[41]

To effectively deal with critical aspects of organizational behavior, police managers must develop and utilize motivational skills while enhancing their conceptual skills. Such skills have little to do with technical and operational expertise. They require a different level of attention by the manager.

Organizational Behavior Defined

Organizational behavior is the systematic study of the behavior and attitudes of individuals and groups in organizations.[42] The behavioral sciences, such as sociology, psychology, and anthropology, provide a basis for understanding human behavior at both the individual and group levels. Police managers utilize knowledge of human behavior to manage individual and group behavior.

To understand behavior in an organization is difficult because it involves understanding not only individual but also impact of group behavior. The organization is a social system conditioned and reconditioned by its environment. According to this perspective, police organizations are not isolated entities but are part of a large societal environment. Thus, it is becoming increasingly apparent that law enforcement agencies cannot function in isolation.

Police managers face many challenges, including understanding individual differences (in such areas as skills, motivation, and learning abilities). When concerned with individuals in groups, managers must also consider factors like communication, decision-making, power,

Table 1–1
TYPES OF BEHAVIOR IN THE ORGANIZATION

Individual
Interpersonal
Group
Organizational

and leadership. With this understanding as a basis, the manager can focus on work itself and can consider such variables as attitudes toward work, conflict, stress, and work design.

When tasks, individuals, and groups are interrelated, organizational design becomes a means of maximizing performance. The more successful a manager is in dealing with human behavior, the more successful the unit and the organization will be.[43] To understand organizational behavior, police managers should concern themselves with the following behaviors: individual, interpersonal, group, and organizational (see Table 1–1).

Individual

Individual behavior in the work setting has a highly significant impact on the effectiveness of an organization. People are different from each other; their behavior influences the behavior of other individuals, the attitudes of the small groups of which they are members, and the performance of the organization as a whole. Individuals have different perceptions of organizational reality, and they react accordingly. Therefore, it is important to understand how individuals develop their beliefs, attitudes, and values (see Chapter 4). It is also a continuing challenge for a manager to understand what motivates an individual (see Chapter 5). Another factor is that the values, attitudes, and perceptions officers bring to the job or those they acquire after employment become exceedingly significant when managers strive to achieve agency goals.[44]

Another aspect of individual behavior is the personality of each officer. Other individuals, groups, and the organization impact the personality of the officer (see Chapter 3). A law enforcement agency exerts considerable influence on each officer, and this process of occupational socialization continues throughout the officer's career. Everyone makes assumptions about his or her peers, supervisors, and managers, and these assumptions influence individual behavior toward others. It is essential that managers become truly aware of individual differences as they attempt to understand individual and organizational needs. Finally, individuals and especially police officers who work in high-service demand areas can suffer from stress created by organizational life (see Chapter 6).

Interpersonal

The **interpersonal behavior** that arises when two people interact can be of considerable concern to managers. This interaction may occur between two police officers, a superior and a subordinate, or two managers. In most instances, it involves such factors as leadership style, power, influence, and communication (see Chapters 2, 9, and 10).

Interpersonal communication is a critical factor affecting both behavior and performance in police organizations. Effective communication is essential, and it seldom just occurs—it must be cultivated. Poor communication can lead to poor decisions. Power, leadership style, and influence effect communication. Power is a natural phenomenon in organizational life, the thing that makes it possible to influence people's behavior to achieve objectives and goals. In some police departments, power serves as a positive feature, allowing people to control their destinies while accomplishing the mission. However, power inevitably modifies interpersonal relationships within the organization. When individuals compete for it, conflict can occur, and it is difficult to imagine an organization where power is not a key variable in the relationships among members. Leadership is the catalyst that makes an organization effective. The interpersonal skills that police managers possess directly affect individuals and groups as well as the total organization. Finally, managers need to reduce and manage interpersonal conflict to achieve departmental objectives and goals.

Group

Even though most police officers perform their duties singularly or in pairs, group behavior is becoming increasingly important to police managers. SWAT teams, task forces, and unions are examples of formal groups found in policing. Chapter 12 discusses in detail the dynamics of the group and the group process. Groups, both formal and informal, are powerful forces working for the attainment of goals and assisting in the adaptation to change (see Chapter 12).

Groups exert influence over the attitudes and behavior of each officer. As members of a work group, officers often feel or act differently than they would alone. The group can foster teamwork that results in the attainment of objectives, or its members can sabotage innovative programs. A manager can be more effective in understanding how groups form, what types of groups are there, and how groups found in the work environment operate. Groups have a strong influence on individual behavior. The manager who does not understand the role they play within the organization will be less successful than the manager who directs group behavior in such a way that there is a positive contribution to the organization.

Organizational

The structure of the organization itself is significant because faulty organizational design can limit or inhibit coordination and cooperation among employees. Organizational design brings together like functions and provides for formal internal communication. In some instances, police departments become fragmented, and individual units within a department function with total disregard for other units. In the early part of the 20th century, detective units operated independently. In some instances, the heads of detective units were political appointments.

The complexity of the organizational work to be performed also influences behavior: Managers have to be especially concerned with how individuals and groups adjust to their assignments, and all managers should be aware of the need to deal with job stress, conflict, turnover, and absenteeism.

It is increasingly apparent that police organizations continually react to the external environment and that the nature of this ongoing reaction modifies the internal environment of the organization. It is the task of the police manager to enhance the working relationship between the external and internal environments and effectively manage resultant behavior. This is not an easy task, so managers must utilize every resource at their command to identify, understand, assess, and resolve organizational problems. The current trend toward strategic policing places an exceptional demand for all police personnel, as the department focuses on attaining the crime control goals outlined in departmental vision statements.

Historical Foundations of Organizational Behavior

The growth of organizations and their increasing importance within society resulted in greater attention being given by researchers to employees and their needs in the workplace. Probably the most lasting of the early research products are Abraham H. Maslow's motivation studies. Maslow studied what he called the "self-actualized individual," a superior character whose personality was harmonious and whose perceptions were less distorted than those of other people by desires, anxieties, fears, hopes, false optimism, or pessimism.[45]

From his analysis of the self-actualized individual, Maslow created a theory of human behavior. He identified five levels of human needs within a motivational hierarchy. With the basic needs (physiological well-being and safety) fulfilled, the growth need comes into play, influencing the individual to seek belongingness, esteem, and self-actualization (see Chapter 6).

Another researcher, Douglas McGregor believed all management acts are based on specific assumptions, generalizations, and hypotheses about employee behavior. He suggested that if a manager holds workers in relatively low esteem, he or she will see the majority of workers as somewhat limited in their commitment to the organization (in contrast with managers, an elite group whose focus is the organizational needs).

Such a manager assumes that most employees are inherently lazy, want to have someone take care of them, and work best when subjected to firm control and positive direction.[46] This managerial perspective is known as "Theory X." In contrast to this is the "Theory Y" perspective that sees workers as committed, intelligent, responsible, and honest.

A manager functioning under a positive set of assumptions about worker behavior is concerned about relationships and the creation of an environment emphasizing the development of initiative and self-direction. Theory Y assumptions challenged the fundamental tenets postulated in the "ideal bureaucracy" and "scientific management" theories. However, its basic assumptions support the premises of community policing and strategic management.

Frederick Herzberg postulated a two-factor theory of worker motivation and focused on job satisfaction. In other words, what do employees want from their work? When subjects of his investigation reported feeling unhappy with their jobs, he found that they identified conditions external to task accomplishment.[47] The factors sponsoring employee motivation include work itself, advancement, achievement, and recognition. Herzberg also listed "hygiene" factors such as administration, supervision, salaries, and working conditions. Herzberg encouraged managers to create a working environment emphasizing "satisfiers" rather than "dissatisfiers" (see Chapter 5).

Other researchers directed their attention to leadership. In what has become known as the Ohio State leadership studies, Rensis Likert identified management styles in organizations as lying along a continuum from authoritarian to participative.[48] He found that, with few exceptions, the highest-producing units within an organization were those in which the management style was participative.[49] According to Likert, human resources are a significant organizational asset.

During the same period, the 1950s, Robert Blake and Jane Mouton developed the highly popular "managerial grid." The grid identified five different styles of leadership: "impoverished," "task," "country club," "middle-of-the-road," and "team." The relationship between concern for production and concern for employees defined the style. The most desirable style was found to be team management.[50] (See Chapter 11.)

As behavioral researchers reviewed the numerous studies on leadership and motivation, they found them to be highly prescriptive and, in many instances, mutually contradictory. These researchers declared an end to efforts to identify universal principles, the best leadership style, or optimal motivational factors, and the "contingency approach" was born.

Fred Fiedler, Martin Chemers, and Linda Maher's discussion of leadership suggested the adoption of a contingency approach, which would recognize that different situations and conditions require different management approaches.[51] They identified three dimensions determining the situational control of a job:

1. *The relationship between the leader and followers.* Do they get along together?
2. *Nature of the task structure.* Are the procedures, goals, and job evaluation techniques clearly defined?
3. *Amount of position power.* How much actual authority does the leader possess to hire, fire, and discipline?

Chris Argyris set forth (in a series of articles and texts) his theories concerning the difficulty of adjusting the individual to the organization. Argyris's view is that an organization that emphasizes task specialization, chain of command, unity of direction, and limited span of control is fostering "immaturity" among its employees and that the leadership style of such organizations tends to create conflict and frustration by pressuring "maturity-directed" employees to behave immaturely. Argyris viewed an effective organization as one requiring employees to be self-responsible, self-directed, and self-motivated. The pursuit of goals and experiences of psychological growth and independence maximizes motivation.[52]

The contingency approach came into existence as a consequence of the frustration that behavioral scientists and consultants experienced in implementing ideas set forth by the traditional theories. For the most part, the business world has been more receptive to evolving managerial theories than has the world of public administration.

Seeking ideal management concepts is something like the search for the Holy Grail that, in ancient times, proved to be so difficult. Many of us are still looking for the "one best way" to do things, but those who accept the contingency approach believe that differing situations require different management approaches. Contingency supporters reject the concept of "one best way" to accomplish something and prefer an eclectic approach. For example, in one situation work, simplification might prove highly successful, whereas in another, changing the relationships within a work group could be the best solution.

The approach taken by this book is to include contributions from most of the major theories of management, with a primary focus on organizational behavior. Our review of the history of management theories makes it clear that the traditional assumption that there was only one best way to manage people in organizations has received less and less support through the years. The foundation for a new approach to management was laid by later theorists who began to emphasize the necessity of understanding organizational behavior.

As previously indicated, law enforcement managers for the most part still emphasize traditional management approaches, but progressive police organizations are turning to managerial approaches that are currently more widely accepted by organizations outside the law enforcement world.

CASE STUDY Chief Cindy Miller

Cindy Miller was appointed to the position of chief six months ago, after serving in a neighboring police department for 12 years. The last rank she held there was lieutenant. Miller's predecessor as chief had served for many years. His managerial style was "Don't do anything that rocks the boat."

Soon after assuming the position, Chief Miller instituted a program of personally reviewing the daily reports of officers by randomly selecting them from different shifts. This new program went over like a lead balloon. Shock waves permeated the whole organization. The typical reaction was that the chief was treating everyone like children. The chief's position is that while some officers might find it demeaning to be made accountable in detail for their activities, in her judgment daily reports should be a managerial tool, not a meaningless form.

The chief's review program created such dissent that several officers complained to members of the city council. The media soon picked up on the issue. The chief became very defensive and pointed out that it was an in-house matter and officers had no business taking it outside the department.

What might the chief have done to prevent this conflict? Is it a question of organizational behavior that is a function of interpersonal relations or group dynamics? Did the officers have a right to challenge the chief? If you agree, explain why.

Police managers should be fully aware of both the advantages and the disadvantages of different managerial theories. Although the pragmatic police executive might feel somewhat uncomfortable with how many competing theories there are, there is a definite need for managers to be aware of new theories and ideas when implementing new programs. Change is always with us, and rapid change places urgent demands on the organization's ability to respond. What worked yesterday might not work as well today. The eclectic approach we have chosen provides the law enforcement manager with tools benefiting not only the organization but also the employees and the public.

CASE STUDY Chief Max D. Kenney

Max D. Kenney had previously served as a chief in two other communities before being appointed chief of Websterville, a city with a population of 110,000. The department has 120 sworn personnel and 21 civilians. Websterville is a bedroom suburb in a large metropolitan area.

Chief Kenney, when initially employed, was known as a visionary, and the officials who hired him expected him to make the department the most professional in the area. Kenney has a master's degree in public administration, has been a police officer for 14 years, and is considered by most to be an excellent selection.

As chief, Kenney spends the majority of his time externally, networking with community organizations, the business community, professional organizations and as spokesperson for the department. The assistant chief supervises operations. Chief Kenney's internal supervision is limited to issues that might threaten the integrity or reputation of the department.

Chief Kenney holds numerous press conferences and does everything possible to maximize positive press relations. As a matter of policy, reporters are required to deal directly with the chief on any case of significance. The chief is also deeply involved in three major police professional organizations and spends a great deal of his time attending meetings and serving on committees. Also, he attends every city council meeting plus neighborhood association meetings and every cultural or social event his busy schedule allows.

From the preceding description, it is apparent the chief believes the chief executive should spend most of his time engaging in activities external to the department. Do you think the chief is truly performing the roles required, or should he be more concerned with the internal aspects of the department? Roles?

SUMMARY

Police managers are becoming increasingly aware of the need to understand human behavior in the workplace. Through a study of organizational behavior, we can begin not only to understand why organizations are such complex entities but also to learn something about managerial behavior and the interactions among officers, managers, and the organization. It is essential to become aware of behavior at the individual, interpersonal, and group levels. As a field of study, organizational behavior is a product of evolution. Its historical antecedents included ideal bureaucracy theories, scientific management research, and the human relations movement.

To perform effectively, a manager must develop three areas of skills: technical, human, and conceptual. The common denominator for all levels of management is human skills—they are of the utmost importance. It is evident that managers are most effective when goals and objectives are attained through the efforts of others.

Management is a continuing process that focuses on the identification, refinement, and attainment of objectives by the effective application of resources. Operationally, a police manager accomplishes this by articulating value statements that guide the department in its effort to attain defined goals.

DISCUSSION TOPICS AND QUESTIONS

1. Generally, what behaviors must be considered to fully understand the concept of organizational behavior?
2. Why is it important to understand the concept of organizational behavior?
3. Differentiate between the managerial skills needed by a manager at the supervisory level and those needed by middle managers.
4. Describe what a manager should do to understand his or her subordinates.
5. Why does a police chief spend a great amount of time on the interpersonal role?
6. What are the responsibilities of the new strategic manager?

FOR FURTHER READING

Gary Dessler, *Management: Principles and Practices for Tomorrow's Leaders* (Upper Saddle River, NJ: Prentice Hall, 2013).

Dessler provides an in-depth analysis of the role of the manager in today's organizational environment.

David H. Freedman, *Corps Business: The 30 Management Principles of the U.S. Marines* (New York: HarperCollins, 2000).

Excellent analysis of a winning leadership and organizational management process.

Malcolm K. Sparrow, Mark Moore, and David Kennedy, *Beyond 911: A New Era for Policing* (New York: Basic Books, 1992).

Good basic analysis of traditional and innovative management in the operational world of policing.

ENDNOTES

1. Bureau of Justice Statistics, *National Sources of Law Enforcement Employment Data* (Washington, D.C.: U.S. Department of Justice, April 2016).
2. Michael E. Cavanagh, *Policing within a Professional Framework* (Upper Saddle River, NJ: Prentice Hall, 2004), pp. 73–104.
3. Richard M. Ayres, *Preventing Law Enforcement Stress: The Organization's Role* (Washington, D.C.: Bureau of Justice Assistance, 1990).
4. Gary Dessler, *Management: Principles and Practices for Tomorrow's Leaders* (Upper Saddle River, NJ: Prentice Hall, 2004), p. 3.
5. James J. Fyfe, Jack R. Greene, William F. Walsh, O. W. Wilson, and Roy C. McLaren, *Police Administration* (New York: McGraw-Hill, 1997), p. 212.
6. Jay R. Galbraith, Edward E. Lawler, and Associates, *Organizing for the Future: The New Logic for Managing Complex Organizations* (San Francisco: Jossey-Bass, 1993), p. 2.

7. David H. Freedman, *Corps Business: The 30 Management Principles of the U.S. Marines* (New York: HarperCollins, 2000), pp. xii–xiii.
8. Dessler, *Management*, p. 3.
9. William Bratton with Peter Knobler, *Turnaround* (New York: Random House, 1998) and Jack Maple with Chris Mitchell, *The Crime Fighter: Putting the Bad Guys Out of Business* (New York: Doubleday, 1999).
10. Susie Morgan, Danny Murphy, and Benjamin Horwitz, "Police Reform through Data-Driven Management," *Police Quarterly*, Vol. 20, No. 3 (2017), pp. 275–294.
11. C. Domonske, "Towards an Integrative Theory of Police Management," *International Journal of Police Science & Management*, Vol. 8, No. 4 (2006), pp. 326–341.
12. G. Cordner, *Police Administration* (New York: Routledge, 2016), pp. 180–208.
13. Albert J. Reiss, "Shaping and Serving the Community: The Role of the Police Chief Executive," in William A. Geller ed., *Police Leadership in America: Crisis and Opportunity* (New York: Praeger, 1985), pp. 61–69.
14. Malcolm K. Sparrow, Mark Moore, and David Kennedy, *Beyond 911: A New Era for Policing* (New York: Basic Books, 1992), pp. 213–214.
15. George L. Kelling and William J. Bratton, *Implementing Community Policing: The Administrative Problem* (Washington, D.C.: National Institute of Justice, 1993).
16. Lawrence W. Sherman, Catherine H. Milton, and Thomas V. Kelly, *Team Policing: Seven Case Studies* (Washington, D.C.: Police Foundation, 1973).
17. Sparrow, Moore, and Kennedy, *Beyond 911*, pp. 213–214.
18. Kelling and Bratton, *Implementing Community Policing*, pp. 10–11.
19. L. S. Miller, H. W. More, and M. C. Braswell, *Effective Police Supervision* (New York: Routledge, 2017), pp. 30–43.
20. Cordner, *Police Administration*, p. 188.
21. Miller, More, and Braswell, *Effective Police Supervision*, pp. 40–42.
22. D. Baldwin, "How to Win the Blame Game," *Harvard Business Review* (July–August 2001), p. 4.
23. Robert L. Katz, "Skills of an Effective Administrator," *Harvard Business Review*, Vol. 52 (1974), pp. 90–110.
24. Dessler, *Management*, p. 10.
25. Charles R. Swanson, Neil C. Chamelin, Leonard Territo, and Robert W. Taylor, *Criminal Investigation* (New York: McGraw-Hill, 2008).
26. Vincent E. Henry, *The Compstat Paradigm: Management Accountability in Policing, Business and the Public Sector* (Flushing, NY: Looseleaf Law Publications, 2002).
27. Gary Yukl, *Leadership in Organizations* (Upper Saddle River, NJ: Prentice Hall, 2013), p. 152.
28. Ibid., p. 148.
29. S. P. Robbins and M. Coulter, *Management* (Upper Saddle River, NJ: Pearson Education, 2018), p. 17.
30. The two sets of role expectations have been developed by William F. Walsh through the use of interactive training exercises during 30 years of training police managers throughout the United States.
31. Peter F. Drucker, "What Makes an Effective Executive?" *Harvard Business Review*, Vol. 82, No. 6 (2004), pp. 58–62.
32. Peter M. Senge, *The Fifth Discipline: The Art & Practice of the Learning Organization* (New York: Doubleday, 1990), p. 13.
33. Ibid.
34. William F. Walsh, "CompStat: An Analysis of an Emerging Police Managerial Paradigm," *Policing: An International Journal of Police Strategies & Management*, Vol. 24 (2001), pp. 347–362.
35. Walter Schick, "CompStat in the Los Angeles Police Department," *The Police Chief*, Vol. LXXI (January 2004), pp. 17–23.
36. Jerry Ratcliffe, *Intelligence-Led Policing* (New York: Routledge, 2016).
37. William F. Walsh, "Policing at the Crossroads: Changing Directions for the New Millennium," *Policing: An International Journal of Police Science and Management*, Vol. 1 (1998), pp. 17–25.
38. Eli B. Silverman, *NYPD Battles Crime: Innovative Strategies in Policing* (New York: Northeastern University Press, 1998), p. 190.
39. Susan E. Jackson, "Participation in Decision Making as a Strategy for Reducing Job-Related Strain," *Journal of Applied Psychology*, Vol. 68 (1983), pp. 3–19.
40. J. David Pincus, "Communication Satisfaction, Job Satisfaction, and Job Performance," *Human Communication Research*, Vol. 12 (1986), pp. 395–419.
41. John R. Schermerhorn, James G. Hunt, and Richard N. Osborn, *Organizational Behavior* (New York: John Wiley & Sons, 2012), p. 3.
42. Ibid.
43. Gary Dessler, *A Framework for Human Resource Management* (Upper Saddle River, NJ: Prentice Hall, 2013), p. 15.
44. Robert E. Worden, "Police Officer Belief Systems: A Framework for Analysis," *American Journal of Policing*, Vol. 14 (1995), pp. 49–81.
45. Abraham H. Maslow, *Towards a Psychology of Being* (New York: Van Nostrand, 1962).
46. Douglas McGregor, *The Human Side of Enterprise* (New York: McGraw-Hill, 1960).
47. Frederick Herzberg, Bernard Mausner, and Barbara Snyderman, *The Motivation to Work* (New York: Wiley, 1959).
48. Rensis Likert, *New Patterns in Management* (New York: McGraw-Hill, 1961).
49. Rensis Likert, *The Human Organization Patterns* (New York: McGraw-Hill, 1967).
50. Robert R. Blake and Jane S. Mouton, *The Managerial Grid* (Houston, TX: Gulf, 1964).
51. Fred E. Fiedler, Martin M. Chemers, and Linda Mahar, *Improving Leadership Effectiveness: The Leader Match Concept* (New York: Wiley, 1976).
52. Chris Argyris, *Personality and Organization* (New York: Harper & Row, 1957).

2

LEADERSHIP

The Integrative Variable

Learning Objectives

1. Identify the key aspects of management leadership and theories of leadership.
2. Compare theories of leadership.
3. Describe participatory management.
4. Compare the managerial grid, leadership quadrants, and path-goal leadership.
5. Identify the key components of "Good to Great."
6. Differentiate between transformational and transactional leadership styles.

Key Terms

adaptive
authority
autocratic
conceptual
contingency
democratic
initiating structure
least preferred co-worker
managerial grid
participatory
path-goal
situational
trait
transactional
transformational
universal

Law enforcement is a fluid working environment that is conditioned and reconditioned by **situational** factors that influence our perspective of what constituted viable leadership. Through the years, it has become readily apparent that if there is a singular purpose of leadership it is to mobilize others to serve a purpose.[1] By itself, a law enforcement agency is a lifeless, inanimate entity until positive leadership becomes an actuality. While leadership is intangible, it has proven to be the catalyst that enervates the organization. When positive leadership becomes a dynamic force within a law enforcement agency, things happen. Inspirational leadership is extremely contagious and provides a sense of organizational purpose. It can be a synergistic reality that maximizes efforts that result in mission attainment. At the same time, it is an elusive quality that must be present if an organization is to fulfill its purpose. Officers readily respond to the fire-like quality of enthusiastic leadership. It is contagious and can reverberate throughout an agency. A leader influences employees and possesses the character and competence needed to achieve individual and organizational excellence. In the search for police executives, announcements vary considerably when listing characteristics and necessary skills for appointment to a police executive position. Some of these are displayed in Table 2–1.

Table 2–1
POLICE CHIEF EXECUTIVE OFFICER—MULTIDIMENSIONAL LEADERSHIP

Core Traits	Descriptive Characteristics of High Scores
Conscientiousness	Dependable, hardworking, organized, self-disciplined, persistent, responsible
Emotional stability	Calm, secure, happy, unworried
Agreeableness	Cooperative, warm, caring, good-natured, courteous, trusting
Extraversion	Sociable, outgoing, talkative, assertive, gregarious
Openness to experience	Curious, intellectual, creative, cultured, artistically sensitive, flexible, imaginative

These attributes emphasize distinct yet interrelated aspects of police administration. Top executives are expected to have outstanding leadership and administrative skills. They must lead employees as they strive to accomplish the organization's mission, goals, and objectives. They must demonstrate interpersonal and communication skills and be committed to community service. They must have problem-solving skills and the capacity to lead. Like the proverbial horse and carriage, interpersonal skills, management, and leadership form a natural unit, or gestalt. Under ideal circumstances, "You can't have one without the other."

The term *motivation* is derived from a Latin word meaning "to move." It involves the use of incentives to encourage or reinforce member behavior that is consistent with and contributes to the organization's purpose. It is incumbent on management to create a hospitable milieu within which police officers are able to satisfy personal as well as organizational needs. Motivation is the key to personal productivity. According to Michael LeBoeuf, good leaders have the ability to turn subordinates on and convert collective efforts into productive work.[2] *Things that are rewarded get done!* There is a very direct and inextricable link between motivation and productivity in law enforcement organizations.

CASE STUDY Captain Bill Jackson

Bill Jackson, formerly the officer in charge of the police department's Special Weapons and Tactics (SWAT) unit, was recently promoted to captain. Departmental policy required that he be transferred to another departmental unit inasmuch as the SWAT team did not call for the rank of captain. Bill had served in SWAT for seven years and prior to that he had been a patrol sergeant. And he had 14 years of experience in the City of Possible and placed in charge of a medium-sized district station. While the captain gets along with most of his subordinates, in his current assignment, they see him as a no-nonsense cop who exemplified the mind-set of command and control. It was immediately apparent that his leadership style was to make decisions and tell the officers in his district what to do. His power orientation focused on autocratic leadership. He exemplified structure and going by the books and gave little consideration to other variables. His subordinates were not allowed to make meaningful independent decisions. He felt he had the answers, so why consult or listen to anyone else below him in the chain of command. Prior to entering the department, he had spent four years in the Marine Corp and had served in combat for one year. This background proved to be useful and as head of the SWAT team, he was a health nut and physically fit. He ran the SWAT team with an iron fist, and everyone knew he was the leader and operationally ran the show. No one questioned his authority. In his position at SWAT, he always received ratings of *outstanding*, and those under him responded positively to his leadership style.

Bill had been trained when he received his last two promotions, but when elevated to captain, he was left to fend for himself. His natural instinct was to utilize the leadership methods he had used successfully as a SWAT commander.

Captain Jackson's commitment was to a (9-1) task-oriented management leadership style—in what could be considered a textbook example of bureaucratic leadership. He never sought input from his immediate subordinates because it was not needed. He could best be described as the proverbial taskmaster. He issued orders and expected a positive response.

He was at his best when he was in the field and "hands-on management" was what he liked best. When he arrived at any scene, he immediately took command. While he did not exploit personnel, he felt his focus on results was what counted. After nine months as the district captain, he began to hear through the grapevine regarding some low-key dissention from the lieutenants under his command who felt that he was usurping their authority. At first he was shocked that anyone would question his leadership style. The four lieutenants did not want to go out of the chain of command, so they asked for a meeting in order to discuss their working relationship with the captain. Bill's initial reaction was to not meet with them, but then he decided to authorize the meeting as a means of clearing the air and forging a team. He had hopes that his immediate subordinates would see the necessity of forging

an alliance to meet head-on the many problems confronting the district. He entered the meeting with a positive frame of mind, but was astounded at what he heard. No one had ever questioned his leadership abilities. At first, he was defensive, but as the give and take took place, he had a slight glimmer that he had a problem that he did not fully understand. It began to dawn on Bill that most of those under him had more formal education and looked at the work environment entirely differently.

If you were the captain, what would you do to conclude the meeting? Would you wait and see if time would smooth things out? Why or why not? Based on the information you have, what do you think happened in this situation? How much place does a 9-1 leadership style have in law enforcement? List five situations where a 9-1 style would be appropriate. As the captain, would you consult with your immediate superior? Explain. What can be done to help ensure that it does not happen again? Explain in detail.

Management is the art of getting things done in conjunction with and through others in formally organized task-oriented groups. Truly effective leaders use legitimate authority and real power to create a work environment in which police personnel perform individually, yet cooperate with others to form synergistic groups or teams to achieve a common purpose. Such leaders devise strategies and use various techniques designed to remove obstacles to productivity. Experienced leaders rely on their knowledge of behavioral sciences to motivate employees and to enhance the efficiency, effectiveness, and the productivity of human resources.

Police executives plan, direct, and control police operations. An organization is inert until it is infused with leadership. Then it becomes a dynamic force with a compelling thrust toward the achievement of its overall mission.[3] Proactive leadership is a behavioral transaction that involves the art of influencing, guiding, instructing, directing, and controlling human beings in an effort to gain their willing obedience, cooperation, confidence, support, and respect.[4] Effective management is built on a foundation of trust. Managerial leaders have the ability to elicit productive work that is considerably beyond the minimum required of employees in a particular job. Police leaders are expected to generate a sense of purpose, to motivate and direct the workforce, and to lead subordinates so that individual police officers voluntarily make meaningful contributions to the department.

Perspectives on Leadership

Empirical evidence and common sense suggest that an organization's performance is closely related to the quality of its leadership. While leadership may not be the only important variable in the success or failure of a collective effort, it is an essential one. There is no doubt that inept leaders lower employee morale and hamper police operations. Law enforcement cannot afford leaders who fail to lead. A strong and resourceful leader, on the other hand, can—in the right environment and with proper resources—transform a disparate collection of individuals into an interrelated, aggressive, and successful organization.[5] The leader is the person who energizes the group. He or she knows how to elicit initiative and to draw from employees what they have to give.[6] V. A. Leonard and Harry More contend that leadership is the critical catalyst in this nation's law enforcement agencies.[7] They note that the fundamental basis for success in any police enterprise is found in the energy, effort, and expertise of the leader.

Leadership Defined

Leadership is a very difficult term to define. While most people are able to recognize leaders, few can satisfactorily explain exactly what makes a leader different from a nonleader. Defining leadership is even harder since there is no direct relationship between the ability to lead and those who are chosen to provide leadership in any given situation. Scholars have expended considerable time and effort trying to explain the phenomenon of leadership and yet—after more than 55 years of theory construction and research—there are still no provable generalizations.[8] Genuine leadership appears to be something internal to a given individual and is nurtured by the situation. Real leadership (as opposed to formal **authority**) is not a commodity that can be dispensed by those in positions of power.

The word *leadership* is a recent addition to the English language, in use for only a little over 200 years. It describes the traits, behavior, and/or style of those persons who—either formally or informally—assume responsibility for the activities of a goal-oriented group.

In simple terms, leadership is the knack of getting others to follow and to do willingly those things the leader wants them to do.[9] Leadership is a group phenomenon involving interaction between two or more persons. It also involves an influence process whereby the leader exerts intentional influence over followers. The concept of leadership implies that the follower acknowledges that the focal leader is a source of guidance and inspiration.[10]

Requisite Qualifications

Trust

While many desirable attributes have been espoused for leadership, trust is one of the most important. It is one of the most principled elements in fostering relationships. In law enforcement, it is the foundation of effectiveness, innovation, and employee retention, morale, and dedication. To the contrary, mistrust nurtures skepticism, aggravation, low productivity and turnover.[11] Clear values and subsequent behaviors that reflect truthfulness demonstrate commitment that bolsters trust.

Leaders often believe others trust them due to the sanction of their title. Trust is not accepted solely based on a person's rank or position. When subordinates have confidence in a leader's capabilities, dependability, dedication, integrity, and perseverance to deliver both tangibles and intangibles, they begin to trust. But that is not all…trust begets trust. In other words, being trustworthy builds trust.

Building trust takes commitment, effort, and character. It is not a task, nor is it immediate, but rather, it is a cumulative process. It takes determination and, if you are not careful, it can be lost overnight. Trust is built over time, no matter whether it is internal or external to the organization. Trust is realized by building and maintaining certain strengths. These common leadership qualities include:[12]

1. *Transparency.* Transparency is about being open, honest and communicating effectively. This is crucial during good and bad times. Being open nurtures relationships (see #6 below). Be precise and uncomplicated when discussing your expectations and purpose. This is especially the case when conveying information about your vision, the mission and values of the agency, and even issues such as everyday undertakings. Being direct and clear helps to ensure your expectations are met. And remember, the most important component to effective communication is listening.
2. *Empathy.* Think about others, not just yourself. While tasks matter, people are the most important part of the organization. Emotionally intelligent leaders build trust by relating to thoughts, beliefs, emotions, and experiences of others. They consider the effects of decision-making and behaviors on employees' feelings and understand and appreciate what they are experiencing. Be empathetic, show concern for others, and treat them as you wish to be treated.
3. *Integrity.* Be honorable in what you do. Always be highly ethical, forthright, and reliable. Do the right thing no matter how difficult it may seem to you. Treat people fairly, irrespective of their position or status in the organization. Leaders build trust by doing the right thing, even when no one is looking.
4. *Participation.* Results build trust. Be involved to assist in achieving results. Not by micromanaging, but rather by being engaged with your employees. Remember, it is your job to get your people the resources they need to accomplish the task and achieve results. Get to know your employees. Participating also means being approachable and available, not only during "open door" times, but whenever needed. By participating, you will help to establish trust.
5. *Proficiency.* People tend to be more certain and ultimately, more trusting of leaders who are proficient. Leaders are always learning and looking for ways to improve their competencies and proactively work to stay relevant in the profession. But, it doesn't stop there. Great leaders are always interested in the capabilities of their employees and the organization and recognize and demonstrate a commitment to employee growth through skill development and their career path(s). While leaders may be proficient, they are humble and know they can learn from anyone and at every available opportunity.

6. *Relationships*. Trust is nurtured through relationships. Relationships are derived by authentic bonds. Show sincerity and interest when conversing with others, especially when listening. Always be appreciative of others, their experiences, and what they have to offer. In building relationships, gifted leaders meet people where they are in their level of development. This not only refers to their career level, but also considers levels of maturity, emotion, competence, and commitment.
7. *Dedication*. Be dedicated and loyal to the profession and to the people who work with and for you. Great leaders persevere in times of hardship. They are trusted because they are dedicated. They see well beyond themselves and are willing to yield in order to achieve the common good.
8. *Reliability*. Let your values guide your behavior. Be consistent in your actions. To be reliable, you must be dependable. You must follow through and do what you say you are going to do. A good leader does not offer excuses or place blame on others. He/she pays attention to the little things and does them consistently. This will enhance trust and reap better results.
9. *Accountability*. Trust is an outcome of initiating accountability. Accountability must be created in a constructive and ethical manner. Most importantly, accountability starts at the top of the organization and must be exemplified. Leaders must hold themselves accountable for their mistakes. They also must be willing to confront others while encouraging transparency which allows people to acknowledge their mistakes and learn from them.

Leaders who utilize these attributes can attain success and allow those who they lead to excel. These attributes are not mutually exclusive. They work collectively to build trust. Leaders should trust in their employees and support their decisions. They must remain open-minded to new ideas, skills, and talents of their peers, subordinates, and superiors. Mistakes will occur, however, they can be overcome by a straightforward, transparent and caring approach.

Integrity

The relationship between trust and integrity cannot be overstated in the relationships involving the leader and his/her subordinates. Most leaders are evaluated by their employees on their vision, performance, communication, and intelligence. Even more important, people assess leaders on their character and character includes integrity.

Dwight D. Eisenhower once stated, "The supreme quality for leadership is unquestionably integrity. Without it, no real success is possible…." While the world has changed since Eisenhower made this declaration, time has not devalued the significance of integrity as a requisite quality of leadership.

Integrity and leadership are inseparably associated. Integrity is a concept and culmination of consistency related to values, principles, procedures, activities, expectations of actions, methods, measures, opportunities, and conclusions. It purports a profound obligation and dedication to doing not only the appropriate thing, but doing it for the right reason, irrespective of the situation. Leaders who have integrity are principled. They keep their word, are not judgmental, make fair decisions, and communicate honestly. They are incapable of breaking a trust. Selecting the right thing to do irrespective of the outcome, or the receptivity to it, is a distinguishing attribute of a leader with integrity.

Leaders at every level of the organization should model integrity, and they need to espouse and emphasize it at every possible moment. This promotes and helps create an organization's values and culture of not only integrity, but also compliance, accountability, and ethical behavior.

Ethical Behavior

Leaders establish the culture and direction for ethical behavior in their particular organizations. They are the ones who set the tone for the organization. Leaders who are properly prepared and motivated are a crucial factor for realizing high standards across the agency.

One of the problems highlighted in research is perplexing nature of what embodies ethical behavior and the awareness of it.[13] Corrupt behavior can be expressed in small

ways which usually lead to more serious transgressions. Leaders who recognize warning signs often can prevent incidents through the use of proper training and intervention.

However, the pervasiveness of ethics violations in an organization often is relational to the quality of its leadership. Some researchers have proposed a "trickle down" model where the effects of ethical leadership are reproduced by workers throughout the ranks and are eventually copied by employees at all levels of the organizational structure.[14] In a survey administered to employees and leaders in corporations in southeastern United States, researchers determined the following:

1. Top management has an effect on employee behavior indirectly through supervisory leadership.
2. Employees imitate the behavior of leaders.
3. Employees will behave in a manner consistent with what they believe are the values of the employer.
4. It is likely that leaders who demonstrate ethical behavior influence middle managers who influence all employees.[15]

Law enforcement agencies must develop, hire, and promote strong ethical leaders to reduce unethical behavior among officers.[16] Leaders must consistently exhibit strong moral character and not accept anything less than ethical conduct.

Related Concepts

There is a symbiotic relationship between leaders and followers. They are best viewed as two different sides of the same coin. One view is that leaders—based on their position or power—exert influence on and motivate followers to act in certain ways. Other researchers feel that leadership is not determined by positions of **authority** but by an individual's capacity to influence peers.[17] At the same time, some experts express the belief that without follower consent, an inspiring leader cannot lead.[18] Followers, on the other hand, have a self-imposed zone of acceptance within which they willingly allow themselves to be activated, directed, and controlled by a leader. They establish psychological parameters and permit leaders to influence personal choices within limits.[19]

Once a leader–follower relationship develops, leaders are thrust into a group maintenance role. Effective leaders focus the group's energy and help members function in such a way that the police department is able to accomplish its mission, goals, and objectives. A leader creates a vision for his or her followers and guides them toward achieving that vision.[20]

The term *leadership* means different things to different people. Our definition evolved from a chain or series of related definitions:

1. *Influence.* To cause some behavior in another human being without the use of authority or physical force; influence is manifest in one's ability to affect the character and actions of others. Influence is the major process, function, or activity involved in the leadership role.[21] The behavior of the leader is also influenced by its consequences. A major consequence of leader behavior is predictable follower behavior. Follower behavior tends to reinforce, diminish, or extinguish leadership.
2. *Power.* The ability of a leader to influence other human beings in such a way as to produce a particular behavior. Whether it is formal (authority) or informal (influence), power carries with it the means necessary to ensure that subordinates respond positively to suggestions, instructions, and orders. According to Richard Plunkett, power is the capacity to command and to get others to do what the leader wants done, when and how the leader wants it done.[22] Leader power comes from different sources (e.g., reward power, coercive power, legitimate power, referent power, and expert power). Power is not a static condition; it changes over time.[23] Real power may or may not coincide with the theoretical distribution of formal authority depicted on an organizational chart.
3. *Authority.* Legitimate power vested in some person for a specific purpose. This is institutionalized power inherent in the position rather than the individual.

Authority is the right to act or cause others to act in an effort to accomplish the organization's mission. Ultimate **authority** rests with the police chief executive, who delegates appropriate authority down through the formal chain of command to all personnel within the department. Laws, policies, procedures, rules, and regulations control the delegation of **authority**. Management personnel and supervisors are granted formal authority to determine, direct, control, and regulate the behavior of subordinates. While they are often treated as synonyms, authority and power should be viewed as distinct yet related concepts. There are police administrators who occupy positions with a great deal of formal **authority** but who have no real power to influence the behavior of the men and women who work for them. Others have no formal **authority** per se yet exercise a great deal of influence over the people with whom they work. Effective leaders have the **authority** and power to fulfill their role in law enforcement agencies.[24]

4. *Reciprocal response.* Mutual influence between parties to a behavioral transaction. Leadership simply cannot exist in a social vacuum. There is a functional relationship between leaders and followers. Mary Parker Follett, a well-known management theorist, noted that a stimulus is always influenced to some degree by the resulting response.[25] Each party to the transaction reacts not just to the other person but to the total situation that he or she helped create. The result is a situation that neither person could have produced alone. Leadership—much like life in general—is reflected in a series of social situations orchestrated by synergistic relationships. Each situation is dynamic.
5. *Zone of acceptance.* The parameters within which followers are inclined to do willingly what is asked of them by their leaders. This zone or area reflects the exercise of power and formal authority that subordinates voluntarily accept as legitimate (Figure 2–1).

The zone of acceptance, which Chester Barnard calls the zone of indifference, is to be found in the mind and behavior of the follower, not in a position or a leader. It represents follower-imposed limitations on the power and **authority** of superiors.[26] People's zones of acceptance are getting smaller. People do not blindly follow orders today even if they are in religious or military organizations.[27] This makes the job of the police leader more complex and difficult.

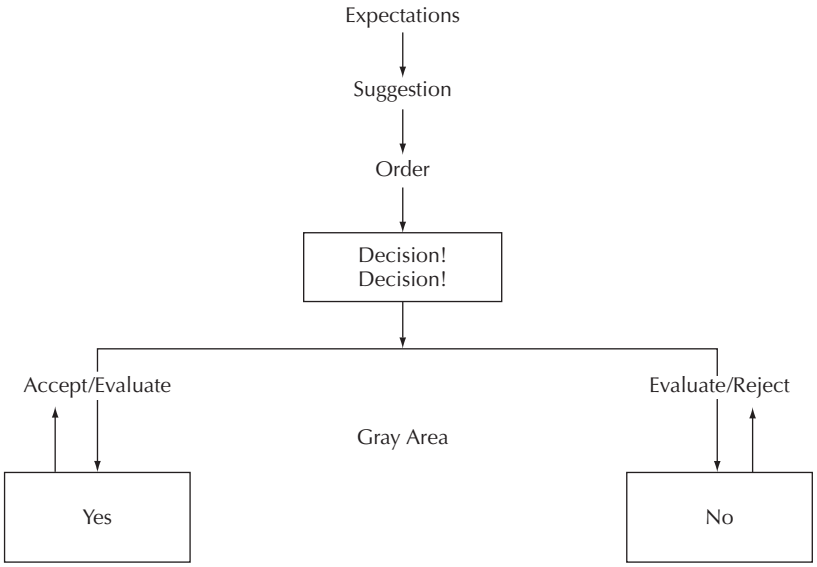


Figure 2–1
Zone of Acceptance.

Expectations, suggestions, and orders that fall within the zone of acceptance are adopted with a minimum of analysis. Those that fall outside of the zone of acceptance are not easily converted into voluntary or willing behavior; they may become insurmountable obstacles to human productivity.

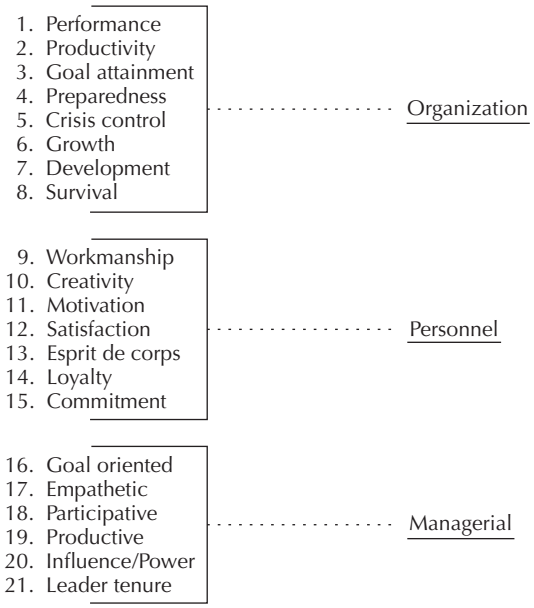


Figure 2–2
Criteria for Determining Leadership Effectiveness.

Leadership is slowly but surely displacing **autocratic** control in police departments throughout the nation. This is especially true in smaller and medium-sized departments, while some larger agencies retain vestiges of leadership based on power and authority.

Functional Leadership

Emphasis has shifted away from charismatic and autocratic leadership models to a new form of leadership based on function. The evidence is clear. A subordinate's zone of acceptance is flexible. It expands and contracts based on the police administrator's formal **authority**, real power, managerial know-how, competence, credibility, leadership style, and interpersonal skills.

The origin of the word *leadership* can be traced to early Greek and Latin. It is derived from an archaic term meaning "to act" and/or "to carry out."[28] Every act of leadership consists of two elements: (1) *initiation by a leader* and (2) *execution by followers.* Based on this concept, leadership theorists have developed an almost endless array of definitions. Since leadership is a very complex, multifaceted phenomenon, there is no real agreement on what the term means. For our purpose, leadership can be defined as follows:

> An interactive goal-oriented process through which individual human beings are (for a variety of reasons) induced to follow someone and to receive psychosocial satisfaction from willingly doing what that person wants them to do.

Leader effectiveness is measured by diverse criteria ranging from the group's performance to the leader's tenure (see Figure 2–2). Two commonly used measures of leader effectiveness in law enforcement are the degree to which police officers work and how well they accomplish the department's mission, goals, and objectives.

Police Administrators as Leaders

Police administrators are responsible for providing competent managerial leadership and are expected to provide it. In fulfilling this role expectation, they initiate goal-oriented action by others and manage those assigned to do the work. Police executives and other upper-level managers perform the specialized task of maintaining the organization in operation.[29] As managerial leaders, police administrators carry out the following:

1. Formulate and refine the department's mission, goals, and objectives. This should be done periodically rather than after a significant event has occurred forcing a change that meets societal needs.
2. Fulfill the department's mission through goal-oriented and proactive management. Reactive management has long plagued the police field and has proven to be detrimental.
3. Motivate police personnel to invest time, energy, effort, and expertise when engaged in job-related activities.
4. Make police work a fundamentally rewarding and productive profession. This can be done through job enrichment or job enlargement.
5. Set a moral, ethical, and professional tone for the organization.
6. Use power and authority to help employees to become more efficient, effective, and productive. The power of police leaders is extraordinary and should be exercised judiciously.
7. Create a working environment in which police officers willingly accomplish tasks. This can be done by utilizing followership tenets.
8. Reward people as a matter of continuous and constant practice. Go out of your way to acknowledge good works.
9. Maximize input from every level of the organization.
10. Above all communicate constantly and with effectiveness.

According to Sam Souryal, the essence of management leadership is for administrators to identify the needs of people in work groups and to meet work-related needs in ways designed to produce optimal productivity.[30]

This is sage advice, from an expert, and should be followed by current leaders and those who aspire to be leaders.

Managerial Leadership

Managerial leaders make an effort to identify and understand the needs of subordinates and to mesh them with those of the organization.[31] While these needs vary from person to person, from one organization to the next, and over time, they are normally separated into two distinct categories:

1. *Task-oriented needs* are work centered and directly related to defining goals, making policy, building programs, establishing process, and creating organizations based on the efficient division of labor. Management organizes the elements of productive enterprise (money, material, equipment, and human resources) to accomplish its stated goals and objectives.
2. *People-oriented needs* are employee centered and related to improving interpersonal relations, facilitating communication, motivating personnel, providing support, generating morale through meaningful participation, and resolving destructive conflict. The task of management is to create conditions that allow people to achieve their own goals by directing their productive effort toward organizational objectives.[32]

The "task" and "people" dimensions of management leadership are not, and never have been, mutually exclusive. They are interdependent. Effective managers exhibit both orientations simultaneously. They seek to create work environments that are productive as well as satisfying for human beings. People-oriented leadership—interactive behavior based on mutual trust, friendship, support, and respect—is directly related to job performance and employee satisfaction in a wide range of organizations. Those leaders who are more considerate of others usually have the most-satisfied subordinates.[33]

Modern police work is labor intensive. Somewhere between 70 and 85 percent of a typical budget is earmarked for recruiting, screening, training, nurturing, and retaining personnel. Under these conditions, managerial leaders must possess the knowledge and

skills required to maximize the efficiency, effectiveness, and productivity of the organization's human resources. Researchers have identified the following major knowledge areas and leadership skills associated with good management:

Knowledge Areas or Areas of Understanding	Leadership Skills
1. Organization theory (workflow or structure/achievements)	1. Conceptual skills
2. Industrial engineering (job or tasks)	2. Human skills
3. Behavioral science (attitudes or viewpoint)	3. Technical skills

We now explore these knowledge areas (areas of understanding) and leadership skills to provide you with a foundation for a more detailed discussion of managerial leadership in law enforcement. Frederick Herzberg refers to organization theory (workflow or structure/achievement), industrial engineering (job or tasks), and behavioral science (attitudes or viewpoint) as the *eternal triangle*.[34] Contemporary managerial leaders utilize organizational theory to structure work in a logical and sequential manner and ensure coordinated efforts by all personnel in order to achieve a work unit's goals and objectives. They function as industrial engineers in the sense that it is their task to create and/or modify individual jobs so that each employee is productive and makes a substantive contribution to the organization. As applied social scientists, managerial leaders use their knowledge of human behavior to motivate employees, nurture positive attitudes toward work, and cultivate appropriate norms, values, and ethical orientations (see Figure 2–3). Good police managers bring the disparate elements of the *eternal triangle* into dynamic equilibrium in order to preserve and strengthen the organization as a consciously coordinated and goal-oriented system of human interaction.[35]

Managerial leaders understand human nature. They know that subordinates learn, participate, and produce best when they are allowed to set some of their own goals, choose activities related to achievement of those goals, and exercise freedom of choice in other important areas of life within the organization. An effective leader acts as a catalyst, a consultant, and a resource person for the work group. The leader's job is to help the group emerge as a collective entity, grow in terms of solidarity, and become less dependent on external direction or outside control. Managers serve the interests of the group best when, as leaders, they are spontaneous, empathetic, direct, open, and honest in dealing with their subordinates. They have a unique ability to apply knowledge readily and effectively in any given situation. In addition to their knowledge, police managers draw on and exhibit a dynamic mix of leadership skills. In this particular context, management leadership requires **conceptual** skills, human skills, and technical skills.[36] *Conceptual skills* are used to organize and integrate experience. They involve the ability to comprehend and ascribe meaning to bits and pieces of information (data) as they are converted into comprehensive thought. This is not merely an intellectual exercise. It is a part of a process that allows the manager to translate knowledge into action.

Police administrators with well-developed **conceptual** skills are able to perceive themselves in relation to the department and learn to appreciate how their behavior affects interpersonal transactions and functional relationships within the organization. Effective managers evaluate their own personal worth in terms of their leadership role in the police department, the criminal justice system, and the government itself. While

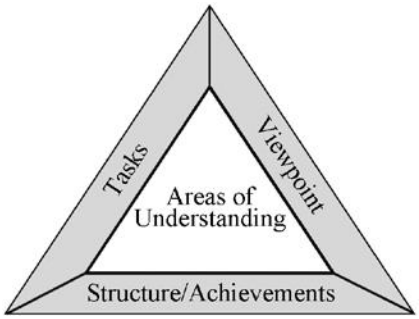


Figure 2–3
Modified from Herzberg's "Eternal Triangle."
Adapted from Fredrick Herzberg, "One More Time: How Do You Motivate Employees?" *Harvard Business Review* (January–February 1968). Also released as a *Harvard Business School Review Classic* in 2008.

conceptual skills are required at every level in police work, the standards for handling different kinds of information become less clear, and the level of abstraction rises when one moves up in the hierarchy of **authority**.[37]

Human skills involve those aspects of behavior and/or personality that influence the individual's ability to interact in a positive way with other persons in the organization. They include, but are certainly not limited to, tolerance for ambiguity, empathetic understanding, and interpersonal communication skills. Tolerance for ambiguity refers to the managerial leader's capacity to deal effectively with problems, even though the lack of information might preclude making a totally informed choice from among the available alternatives. Empathy is the ability to position oneself to see a situation or series of situations from the perspective of others. Empathy is a prerequisite for understanding human behavior. Communication represents an "idea transplant" from the mind of one person to the mind of another. Effective communication is a critical variable in the success or failure of any cooperative effort. Tolerance for ambiguity, empathetic understanding, and goal-oriented communication help transform idiosyncratic behavior into coordinated human effort designed to accomplish the police department's mission, goals, and objectives. Managerial leaders have a unique ability to function as members of an organization while fostering a cooperative spirit and guiding its activities (Table 2–2).

The *technical skills* utilized by police personnel vary depending on the level they have attained within the organization. According to Robert Katz, technical skill represents specialized knowledge, analytical ability related to the specialty, and competence in the use of those tools and techniques associated with police work.[38] The technical skills needed in law enforcement are diverse and normally acquired through job experience or job-related training programs. These skills are more operational than managerial. The techniques and mechanics of arrest, for example, have little or nothing to do with the use of preventive detention to protect the community from potentially dangerous criminals. The ability to shoot a revolver accurately is unrelated to the manager's decision to control the use of deadly force through the imposition of policies, procedures, rules, and regulations.

As police officers attain rank and move up the chain of command, the leadership mix they need in order to function properly changes to reflect the task-oriented and people-oriented demands placed on managerial leaders at higher levels in the hierarchy. Without attempting to split hairs about what constitutes a **conceptual**, human, or technical skill. Figure 2–4 demonstrates the relative mix of leadership skills needed by line supervisors (corporals/sergeants), middle-level managers (lieutenants/captains), and top managers (division chiefs/deputy chiefs/chief executive officers). As one moves up the chain of command, conceptual skills become increasingly important and the need for technical skills lessens. At the same time, it should be acknowledged that the intensity of the combination of skills varies from department to department.

Table 2–2
ORGANIZATION LEVELS AND REQUIRED SKILLS

Level	Combination of Skills
Top management	Amplified conceptual skills
	Lesser emphasis on technical skills
Human skills always necessary	
Middle management	Increasing use of conceptual skills
	Technical skills become less important
	Human skills always necessary
Supervisors	Notable emphasis on technical skills
	Limited use of conceptual skills
	Human skills are an essential component

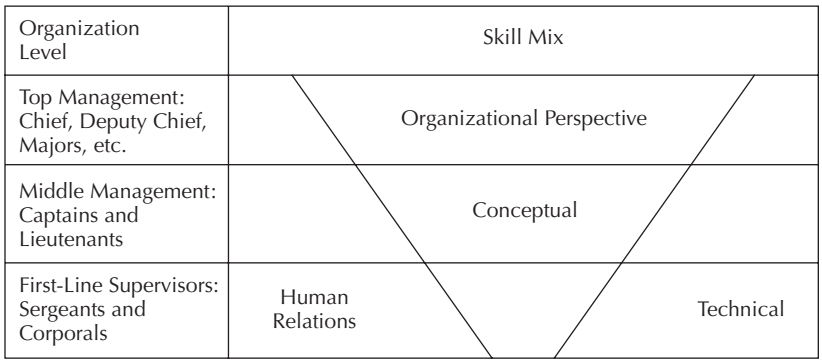


Figure 2–4
Rank-Specific Leadership Skill Mix. Police administration: structures, processes, and behavior, Charles R. Swanson (New York: Macmillan, 1988).

In assessing whether the right leaders are being selected, Sorcher and Brant question the overvaluing of six sought-after management skills associated with leadership. One skill, that of being a team player, is often overvalued as consensus managers usually cannot make decisions on their own. The groups they assemble are much like themselves. Most exceptional leaders are independent thinkers and most often assemble diverse teams. They tend to embrace others who are more experienced and intelligent on a particular subject matter. Another overrated skill is hands-on coaching. Foregone are the days of close mentoring. Excellent leaders choose sound, effective people and delegate to them completely. Great leaders influence the thoughts and beliefs of others instead of prescribing their proposals and observe their own priorities come to life through the inspired achievements of others.[39] They allow people to flourish through experience and their own mistakes. Operation proficiency is the third skill that is often glorified. Leaders possessing this skill are often guided primarily by policies and procedures often repressing innovation. Good leaders prosper in indistinct, multifarious situations and see opportunities in uncertainty. Dynamic public speaking is another overemphasized skill. While public-speaking skills have been believed to be vital, more importantly, today, strong one-on-one skills are needed to inspire others to act. Raw ambition has always been seen as a positive attribute for leaders. Foote, Eisenstat, and Fredberg even describe a "new breed" of leader, the higher-ambition leader, who attempts to produce high performance by creating long-term economic value, generating significant advantages for the wider community, and building strong social capital in their organization.[40] However, the most successful leaders are humble and display great modesty while being intrinsically motivated and competitive. Finally, similarity and familiarity are overvalued in that many believe leaders too different from others in the organization won't fit into the agency. Leaders of diverse backgrounds, that is, race, ethnicity, gender, or socioeconomic status, make brilliant leaders and provide different views from mainstream organizations.[41]

Only those officers with leadership skills or the ability to acquire them through education, training, and supervised practical experience should be promoted to higher rank in the police department. Once promoted, they should be judged on their performance as managerial leaders. Performance-based management (PBM) is discussed in detail in Chapter 14.

Theories of Leadership

Many theories have been developed to explain those factors thought to produce leaders and sustain leadership in complex organizations. The **conceptual** approaches used to study leadership are ordinarily grouped into two basic categories: (1) *universal theories* and (2) *situational theories.* **Universal** theories search for an explanation of leadership unrelated to follower behavior or the social environment within which it develops. To the extent that these theories are truly universal in nature, they fail to shed much light on managerial leadership in very specific situations.[42] **Situational** theories, on the other hand, tend to place undue emphasis on **contingency** variables in an effort to explain the emergence of leaders (and leadership) in particular sets of circumstances. While neither approach has proven to be satisfactory per se, both of them provide us with starting points for further discussion.

Great leaders of the past came to the fore in several different ways. Their personal traits, their leadership styles, and the overall situation came together in such a way as to guarantee them a place in history. Experts in management leadership agree. Gary Dessler contends that there are at least four components in effective management leadership:[43]

1. Congruent leader style
2. Meaningful participation
3. People-oriented approach
4. Positive personal traits

We discuss these factors here in order to describe the ideal type of police administration.

Trait Theory

Trait theory, one of the earliest approaches used to study leadership, was very popular until the mid-1950s and is still viable in one form or another. Trait theories were formulated by luminaries such as Thomas Carlyle, George Friedrich Hegel, and Francis Galton and are based on the assumption that some people are born leaders. Carlyle saw leaders as unusually endowed and talented people who made history. Hegel took a different approach. He argued that events brought out the latent leadership potential in great men and women. Francis Galton believed that leadership skills were simply inherited biologically.[44]

Trait theory is based on the concept that good leaders always have certain physical, mental, and character traits that poor leaders do not possess. There is an implicit assumption that one's ability to lead develops concurrently with the personality during the formative years of childhood.[45] According to **trait** theory, leaders differ from followers with respect to several specific key traits that do not change much over time.[46] Persons with these special traits are virtually predestined to exercise informal as well as formal leadership in a variety of situations. Those who worked to refine **trait** theory and apply it to police administration were confident that adequate leadership could be obtained through a simple two-step process. First, researchers would study good leaders and compare them to nonleaders in order to determine special traits that only the leaders possess. Second, police departments would identify officers with these special traits and promote them to managerial positions.

Researchers have been trying to identify the special traits that set effective managerial leaders apart from poor managers for over 50 years. Different researchers—depending on their philosophy and/or academic training—have reached radically different conclusions concerning exactly what constitutes an essential leadership trait. A review of selected research data helps to illustrate this problem.

Based on extensive survey data regarding the qualifications of an executive, Ralph C. Davis found 56 different characteristics or traits that he considered important. While admitting it was unlikely that any manager would exhibit all, he claimed that the following 10 were required for executive success:[47]

1. Intelligence
2. Experience
3. Originality
4. Receptiveness
5. Teaching ability
6. Personality
7. Knowledge of human behavior
8. Courage
9. Tenacity
10. Sense of justice and fair play

Davis did not attempt to rate these factors in terms of their relative importance in determining effective management leadership.

Cecil Goode's research determined that the following traits were essential for successful leadership in complex organizations:[48]

1. Leaders are more intelligent than the *average* follower.
2. Leaders are well-rounded persons in terms of knowledge, interests, and aptitudes.
3. Leaders have an unusual flair for language. They speak and write intelligently, persuasively, understandably, and simply.
4. Leaders are physically, mentally, and emotionally mature.
5. Leaders have a powerful inner drive that compels them to strive for accomplishment.
6. Leaders are fully aware of the need for cooperative effort in order to accomplish tasks and get things done. They practice effective human skills.
7. Leaders rely on their conceptual skills more than on their technical skills.

Goode's list of traits tends to emphasize the people-oriented aspect of managerial leadership.

Typical of later leadership studies is one carried out by Edwin Ghiselli at the University of California, which looked at 306 managers employed by 90 different companies. Several characteristics were found to have a significant relationship to managerial performance: supervisory ability, achievement orientation, intelligence, self-assurance, decisiveness, and the need for self-actualization.[49] In a comprehensive analysis of more than 280 trait studies conducted over 64 years, Ralph M. Stogdill described a managerial leader as someone who acquires status through purposeful social interaction and a demonstrated ability to facilitate efforts of the work group in goal attainment. The traits most often associated with the assumption and performance of this role were intelligence, sensitivity to the needs of others, understanding of the task, initiative and persistence in handling problems, and a desire to accept responsibility and to occupy a position of dominance and control. Based on this research, Stogdill developed a trait profile designed to describe successful managerial leaders. According to the profile, effective leaders exhibit these traits:[50]

1. Strong need to assume responsibility and complete tasks
2. Vitality and perseverance in pursuit of goals
3. Inventiveness in problem solving
4. Drive to exercise initiative in social situations
5. Self-assurance and sense of personal individuality
6. Willingness to accept consequences for their actions
7. Skills in coping with interpersonal stress
8. Patience when dealing with uncertainty and aggravation
9. Skills to influence the behavior of other people
10. Ability to organize a cohesive group

In a thorough review of the literature on **trait** theory, Joe Kelly produced what he considered a definitive list of those traits most often identified in research as having a positive correlation with managerial leadership. This list of leader traits included intelligence, initiative, extroversion, sense of humor, enthusiasm, fairness, sympathy, and self-confidence.[51] While these traits seem to be important, there is simply no way to prove whether they are or are not essential elements in effective managerial leadership. There has been and will continue to be an avid interest in those physical, social, and psychological traits that separate leaders from nonleaders and good managers from poor managers. There is, however, no quick and easy test to assess leadership potential. In fact, most management theorists now agree that there are no **universal** leader traits.[52] Applied research has failed to discover a definite, consistent correlation between genetically determined traits and truly effective leadership.

There are inherent methodological problems in defining, identifying, and measuring leader traits. Consequently, no particular set of traits has emerged to differentiate effective leaders from nonleaders in any theoretically meaningful sense.[53] Based on the analysis of available data, the opposite appears to be true. It is clear that **situational** factors and

pressures, rather than innate traits, are critical variables in determining who becomes an effective police manager. Robert Baron argues that different situations require managers with different personal characteristics, leader styles, and leadership skills. In some situations, direct and forceful action by the leader is necessary. It enhances productivity and morale.[54] In others, this type of behavior creates resentment and becomes counterproductive. A flexible, unstructured approach works best. In some circumstances, an autocratic style of decision-making, in which the designated leader gathers information and then acts unilaterally, may be effective. In other circumstances, a participative approach, involving consultation and collaboration with one's subordinates, might be necessary to ensure that important decisions are acceptable to various members of the work group. In short, there is no evidence to support the contention that one particular set of traits produces effective leadership in all situations.

The age-old assumption that leaders are born and develop their **conceptual**, human, and technical skills independent of **situational** variables has been completely discredited. The notion that effective managers possess specific leader traits and leadership skills has not been confirmed by research. Consequently, we have been developing a more reasonable and balanced paradigm concerning the importance of traits. It is now believed that certain traits and functional skills increase the likelihood that a given person will be an effective manager. There are no guarantees, however. According to Gary Yukl, the relative importance of the police administrator's personal traits and skills will be determined by the leadership situation.[55]

Leader Behavior Approach

Behavioral scientists abandoned **trait** theory because it provided few clues as to exactly what caused effective leadership. Researchers wanted to identify those proactive leadership strategies that elicited superior performance by human resources and were consistently effective. As a result, they shifted their attention to the study of actual leader behavior. This shift in paradigms had important implications. First, to focus on what leaders do and how they do it (as opposed to who they are) is to make a tacit assumption that there is some best way to lead. Second, in contrast to personal traits (which remain stable over time), leader behavior can be learned.[56] Most management theorists reject the notion that leaders are born and accept the idea that they are created in an interactive social milieu.

Researchers began to study how leader behavior affected follower performance and job-related satisfaction. As a result, leadership came to be viewed as a process of maintaining supportive social relationships in an organized work unit while getting members of that unit to perform assigned tasks at some acceptable level. Although this inquiry did not uncover a list of behaviors that always distinguish leaders from nonleaders, it served to identify major patterns or styles of leader behavior. It also demonstrated that management style has a significant influence on the productivity and morale of personnel within any type of complex criminal justice organization.

Leadership Styles

Early studies, using the methodological approach pioneered by Kurt Lewin, Ronald Lippit, and Ralph White, viewed leadership style as an interaction continuum ranging from people-centered to task-centered managerial behavior.[57] The focus of style theory is to determine which leadership style produces the greatest increase in productivity. Three basic styles (**autocratic**, **democratic**, and laissez-faire) have been identified:[58]

1. *Autocratic leadership* is power oriented. **Autocratic** leaders prefer to make decisions and give orders rather than to invite group participation. Loyalty, acquiescence, and obedience are rewarded. This style is useful when there is a genuine need for strict control and quick decision-making. This can occur during SWAT operations or other team efforts where execution is imperative. It is a question of just doing it, and a leader controls the entire operation. Review or consultation can occur later. When evidence can be destroyed or dangerous conditions are involved,

control is the only answer. Without question, obedience is essential during unusual occurrences. While the autocratic approach might be effective in the short run, the organization simply may be unable to function properly when the leader is absent. There would seem to be little justification for high-handed leadership during routine police operations. This type of police management stifles the development of leadership ability in subordinates because they are rarely allowed to make meaningful independent decisions.

2. *Democratic leadership* is people oriented. There is an emphasis on participation and collaboration. Leaders work with subordinates to help them achieve the organization's goals and objectives and their personal objectives. These managers strive to establish positive relationships based on mutual respect and trust. **Democratic** leaders create administrative environments in which they consult with and draw ideas from their personnel. This can be a very positive and fruitful process because involvement can generate unquestionable commitment to goal attainment and accomplishment of the organizational mission. Insurance of success in this situation depends upon delegating sufficient authority to accomplish tasks. In crises requiring a highly structured response, a **democratic** leadership style might prove to be too time consuming or awkward to be effective. While participative management has merit in police work, it also has its downside. So much time can be taken evaluating or considering a problem that requires subordinate participation that little or nothing gets accomplished. Excessive officer participation can require reacting to every utterance in an effort to maximize involvement, and the result can stifle the decision-making process and interfere with accomplishment of tasks. Even though this style of leadership is people oriented, research indicates that as leaders ascend through the ranks and extend their power base, their ability to perceive and maintain personal connections tends to suffer.[59]
3. *Laissez-faire leadership* represents a hands-off approach to management in complex organizations. In this style, the leader is actually a nonleader who acts as an information center and exercises almost no control. The organization runs itself with little or no input from management. This places the entire organization in jeopardy. Many theorists no longer consider this a true style. The laissez-faire approach is now viewed as a form of administrative abdication.[60] It is easy to see why an administrator who is in the twilight of his or her career does not want to rock the boat or make any decision that can impede a pending retirement. This is especially true when a situation or event is considered to be unnecessary work or, simply put, just rocks in the roadway. In other words, the incumbent takes the stand that he or she had been there and done that, so let someone else deal with it. In other instances, some have taken the position of just waiting for the situation to clear out by itself or to no longer require an urgent decision.

In a somewhat sophisticated approach, Robert Tannenbaum and Warren Schmidt identified four basic leadership styles that they described as "tell," "sell," "consult," and "join."[61] The most prevalent style used in law enforcement for many years for someone in command was to render a decision and then tell the troops what to do. It was a clear-cut example of autocratic leadership. Over time there has been a shift to other styles of leadership wherein authoritarian leadership gave ways to differing styles leading up to joining together wherein a skillful manager allowed for democratic participation. In this example, the leader delegated circumscribed authority. Phillip Applewhite identified a somewhat different set of four managerial leadership categories, which he named "authoritarian," "democratic laissez-faire," "bureaucratic," and "charismatic."[62] Bureaucratic management is based on the process model of leadership, whereas charismatic management is completely idiosyncratic and fueled by personal magnetism.

One of the problems associated with the leadership style approach is that it does not permit management personnel to rate high at both ends of the continuum. It implies that leaders are one-dimensional players who are unable to exhibit people-oriented and task-oriented behavior at the same time. Most leadership theorists now feel that the people and task dimensions of leader behavior are not mutually exclusive. They are, in fact,

independent variables that can be exhibited simultaneously.[63] A large body of applied research data suggests that the either/or view of leadership is out of sync with reality. In more recent years, other leadership terms have entered the lexicon of police leadership to include such terms as shared, driven, dispersed, **transformational**, followership, co-leaders, and collaborative. All of these demonstrate a continuing search for the essence of leadership.

Much of our knowledge about leadership in police agencies is rooted in studies conducted by Ohio State University and the University of Michigan in the late 1940s. While the researchers used different methodologies and focused their attention on different aspects of leadership, they reached very similar conclusions. They cast doubt on the validity of viewing leader behavior as a single continuum; instead, they developed a two-dimensional independent-factor approach to management. The factors identified in the Ohio State University studies were "consideration" and "initiating structure." The University of Michigan researchers defined them as "people-oriented" and "production-oriented" aspects of leadership. Regardless of the terminology used, these factors are now considered the two most important dimensions of managerial leadership.[64]

Leadership Quadrants

Based on an analysis of extensive survey data, E. A. Fleishman and his colleagues at Ohio State University discovered that subordinates tend to think of leadership in terms of the *consideration* and *initiating structure* provided for them by those in positions of **authority**.[65] *Consideration* was measured by behavior items such as openness, communication, consultation, friendship, supportiveness, appreciation, respect, and empathetic understanding. These human relations–oriented behaviors help leaders establish and maintain positive relationships with their subordinates. **Initiating structure** was measured by behavioral items such as planning, coordinating, monitoring, evaluating, directing, and problem solving. These task-related behaviors promote the efficient utilization of personnel and resources in achieving the organization's mission, goals, and objectives. Effective police administrators are not one-dimensional. They have learned to emphasize both *consideration* and **initiating structure** in a concerted effort to influence, motivate, coordinate, and control their subordinates.[66]

The patterns of management leadership described in the Ohio State studies form a composite model with four quadrants plotted along two separate axes. One axis measures a leader's *consideration* for employees, and the other measures his or her emphasis on **initiating structure**. It is clear, based on an analysis of the research data, that police managers can and often do exhibit concern for their subordinates as well as the task. The underlying assumption is that truly effective managers rank high in both areas.[67] Because leader behavior and leadership skills are learned, police managers might benefit from exposure to leader-effectiveness training. Altering one aspect of their style could lead to an appreciable increase in the productivity of work groups they manage.

Numerous research projects have been conducted to determine what effects consideration and initiating structure have on the performance, productivity, and morale of subordinates. The assumption that managers who adopt leadership styles high in both consideration and **initiating structure** will be effective in all situations has simply not been proven. Many studies have concluded that no single leadership style is best in all situations. One review of 24 studies related to leadership behavior revealed that 13 found a significant positive correlation between showing consideration and **initiating structure** for subordinates, 9 found no correlation, and 2 studies found a negative correlation.[68]

Researchers began to realize that what sounds good in theory may not prove so in practice. There is no consistent pattern of research results to demonstrate that one leader style is superior to another.[69]

Even Ralph Stogdill, one of the originators of the Ohio State leadership studies, believes it may be overly simplistic to claim that an effective manager merely needs to behave in a considerate and structuring manner.[70] As stated earlier, an adequate analysis of leadership must take into consideration the leader, the followers, and the situation.

While the Ohio State leadership studies do not provide the aspiring police administrator with a comprehensive "how-to-do-it" explanation of proactive leadership in law

CASE STUDY Lieutenant Charles Wainwright

Lt. Wainwright is a watch commander in the Sea Breeze municipal police department. The department serves a community with a population just under 200,000. There are 286 sworn positions, and the department is at full strength. Sixty percent of the officers are assigned to patrol, which is divided into three shifts. The lieutenant works the midnight shift, and the majority of officers that he supervises have had more than seven years' experience and have volunteered to work this shift. The department has 25 female officers, and 9 percent of the officers are African American, and 17 percent are Hispanic. The educational entry requirement is a high school diploma or its equivalent, and officers receive educational incentive pay and tuition reimbursement. Additionally, they receive shift differential pay, which has proven to be attractive to many officers. The department has 10 officers assigned primarily to the swing shift that work narcotics, and two officers are assigned to a multiagency drug task force. All recruits receive community-policing training, and there are seven neighborhood substations.

During the last year, there were 49 homicides, 69 sexual assaults, 956 robberies, and 2,569 aggravated assaults. In addition, there were 918 burglaries, 4,529 larceny/thefts, 1,297 auto thefts, and 91 incidents of arson. Major problems for the midnight shift occur when bars and night clubs close at 2:00 A.M., requiring a police response. The dominant offenses include sexual assaults, DWIs, public drunkenness, and aggravated assaults. In recent years, the number of auto thefts has increased, and on this shift, there never seems to be a lack of activity requiring police attention.

Lt. Wainwright is an idealist, and he believes that everyone in law enforcement has chosen this career because of the challenges involved—as if it were a calling. His persona suggests a concern for getting things done as well as possible for people. In actuality, he reflects an intermediate level of interest in productivity and a modest concern for subordinates. Lt. Wainwright assumes that there will be conflict between organizational goals and personal needs. What he tries to do is strike a balance between the two. He is laid-back and easy going and has a good sense of humor. He gets along with just about everyone, and it is seldom that he pulls rank on subordinates. He is convinced that if you treat people right, they will return the favor. He firmly believes that the people under him are pragmatic and will, in most instances, put forth some effort based on self-interest. He views himself as a middle-of-the-roader in terms of his managerial leadership style, and he strives diligently to strike a balance between getting things done and the needs of officers.

Deputy Chief Harry Brighter, head of the uniformed division and Lt. Wainwright's immediate superior, has reviewed the personnel rating submitted by Lt. Wainwright, and he has found that everyone is rated as satisfactory. The deputy chief firmly believes that a team management approach will provide greater benefits to the organization as well as the individual. He has found that Lt. Foster is the only one under his command who does not operate with a strong emphasis on team management. From the feedback he has received, the deputy chief believes that Wainwright does not allow meaningful participation and he decides the conditions of work. The deputy chief believes there should not be any conflict between the goals of the uniformed division and the needs of each officer. He urged the lieutenant to become more open, honest, empathetic, and trusting in his relations with subordinates. Deputy Chief Bright discussed the value of collaboration, mutual goal setting, and joint decision-making. He stressed the manager's role as a motivator, teacher, and team builder. Chief Bright also encouraged the lieutenant to become familiar with various leadership theories and to begin to assess his own strengths and weaknesses in terms of those theories. He placed a great deal of emphasis on the importance of developing supportive relationships throughout the entire organization. What started out as a mere exchange of information quickly became a seminar in the human relations approach to management in complex criminal justice organizations.

Which of the two approaches just discussed—middle-of-the-road or team management—do you feel would work for you if you were Lt. Wainwright? Explain in detail. Compare the two leadership styles' pros and cons. What would you have done differently if you were in the lieutenant's shoes? Has Deputy Chief Bright taken the best-possible approach in this situation? Why? What steps would you take as the deputy chief to insure that Lt. Wainwright adequately rates the officers under his supervision?

enforcement departments, their importance should not be underestimated. The Ohio State research stimulated interest in a systematic study of leaders, leader behaviors, and leadership. The Ohio State studies set the stage for further inquiry and provided a **conceptual** framework for the well-known **managerial grid** and the **situational** leadership theories proposed by Paul Hersey and Kenneth Blanchard.

The University of Michigan launched its own program of research on leadership behavior at about the same time as Ohio State began its program. The focus of the research was to identify relationships between leadership behavior, group processes, and group performance. A major objective of the project was to determine what pattern or style of leadership behavior most often leads to efficient, effective, and productive work by subordinates. Researchers used field studies and survey data in an effort to discover what differences there were between effective managers and ineffective managers. They came up with a two-dimensional leadership profile. Employee-oriented behavior included taking an interest in individual employees and their needs, encouraging two-way communication, developing supportive interpersonal relations, and dealing with conflict. Production-oriented behavior, on the other hand, dealt with planning, establishing goals, giving instructions, monitoring performance, stressing productivity, and assigning people to specific tasks.[71]

The University of Michigan researchers also found that effective managerial leaders do not spend most of their time and effort doing the same kind of work as their subordinates. Effective leaders concentrate on supervisory functions such as planning, scheduling work, coordinating worker activities, and distributing resources (supplies, equipment, and technical assistance). This production-oriented behavior did not detract from them concern for human relations. Effective managers were more considerate, supportive, and helpful with their subordinates than less effective ones. They were likely to use general supervision rather than close supervision. After establishing goals and general guidelines, effective leaders allowed their subordinates some freedom in deciding how to do the work and how to pace themselves while doing the work.[72] While the University of Michigan studies unearthed a great deal of information about leadership, they tell only part of the story. These studies are vulnerable to the same criticisms as were leveled at the Ohio State leadership studies. Leaders are but one element in the mosaic of human interaction.

The Managerial Grid

Robert Blake and Jane Srygley Mouton have also dealt with the task and people dimensions of managerial leadership. They proposed a framework in which leader style is plotted on a two-dimensional grid. The managerial grid—a charting technique developed independently of the Ohio State studies—identifies five normative leadership styles based on the relationship between concern for production and concern for people.

Leadership style is determined according to how a particular manager ranks in both of these areas. The **managerial grid** is used as a diagnostic to help individual managers assess their own leadership style.[73] The **Grid** is a 9 by 9 matrix. The horizontal axis indicates graduated concern for production. A rating of nine reflects maximum concern for production. The vertical axis, on the other hand, shows regard for subordinates as human beings. The higher the rating is, the greater the concern is. A nine on this axis is indicative of maximum concern for people.[74] Because the grid is a 9 by 9 matrix, there are 81 possible combinations, or styles of managerial leadership. Only the five basic styles are discussed in the following sections. This is sufficient to understand the concepts behind grid theory, however.

The five basic managerial leadership styles identified by Blake and Mouton are (1) impoverished, (2) task-oriented, (3) country club, (4) middle-of-the-road, and (5) team.

(1,1) Impoverished Management. People are hired, placed in a job, and left alone. Managers exert minimum effort. They sense little or no conflict between production goals and needs of subordinates. Very little is expected from these managers. They are out of it and seem to be lost among their people rather than actively managing them. A 1,1 style, sometimes referred to as laissez-faire management, represents an abdication of professional responsibility.

(9,1) Task-Oriented Management. The leader exhibits a very strong interest in productivity and almost no concern for employee needs or morale. The manager is a proverbial taskmaster. Human considerations are not allowed to interfere with productivity and/or efficiency. The 9,1 position represents an **autocratic** management style in which the end justifies the means and the exploitation of personnel becomes the rule, rather than the exception.

(1,9) Country Club Management. Leaders are overly concerned with creating and maintaining a friendly atmosphere. They spend much of their time placating employees in an effort to meet human needs. The attitudes and feelings of subordinates are their only real concern. People always come first. Managers in the 1,9 positions exhibit a low functional concern for productivity. Work becomes a ritualistic exercise, designed to sustain the employees' personal lifestyles.

(5,5) Middle-of-the-Road Management. Leaders exhibit basic concern for production and people. Their managerial behavior reflects an intermediate level of interest in productivity and a modest concern for subordinates. While they assume that there

will be a conflict between organizational goals and personal needs, they seek to strike a balance between the two. The manager's survival often depends on creating and maintaining a state of equilibrium. The 5,5 manager believes that most people are practical and will normally put forth some effort based on self-interest. The middle-of-the-road approach to managerial leadership is very common in modern police work.

(9,9) Team Management. Managers in the 9,9 position rate high in terms of their concern for both productivity and personnel. They assume there is no conflict between the goals of the organization and the needs of their subordinates. There is an emphasis on meaningful participation. Integration of organizational goals and employee needs is achieved by involving all personnel in determining the goals, methods, and conditions of work.

Blake and Mouton argue that the 9,9 position on the grid represents an ideal leadership style that all managers should try to adopt. They contend that the 9,9 leadership style is the one most positively associated with efficiency, effectiveness, productivity, and employee satisfaction. According to Richard Plunkett, 9,9 managers succeed because they motivate others to join with them in accomplishing the work of the organization. They cultivate a sense of commitment and interdependence by providing their employees with a common stake in the organization. Effective managerial leaders develop goal-oriented relationships with subordinates based on influence, trust, and mutual respect.[75]

Managers ordinarily adopt and retain a dominant mode or style of management that can be described in terms of the grid. Their actions are normally consistent with this grid style unless it fails to work, in which case they may shift into a backup style keyed to the situation. Consequently, where individual managers fit on the grid at any given point in time is not entirely up to them. A variety of factors must be taken into consideration. The demands of the situation as well as the manager's personality, managerial philosophy, administrative acumen, and interaction patterns influence the placement. While police administrators should strive to achieve the 9,9 position on the grid, they must be flexible enough to adapt to changing situations and changes in their personnel when necessary. Truly effective leaders know and have an appreciation for those forces that affect their managerial behavior. They understand themselves, the interpersonal dynamics of the work group, and the **situational** context within which they function.[76] Due to the paramilitary structure of most police departments, there has not been much of an emphasis on team management in law enforcement. As a result, the grid approach has been used infrequently. In a recent study of 76 police administrators, however, nearly 70 percent of the respondents reported that the team management approach was their dominant leadership style.[77] They identified middle-of-the-road management as their primary backup style. In a study of 25 managers from a large police department, it was discovered that 45 percent of them had 9,9 leadership styles. While these studies are certainly encouraging, they should not be used to make far-reaching generalizations.

In related research, Jack Kuykendall and Peter Unsinger found that police managers either tended to have no dominant leadership style or used the "sell" approach to accomplish the organization's goals and objectives.[78] They were most effective when using leadership styles placing an emphasis on the task and least effective in styles requiring delegation of authority and/or work-group participation. According to Roy Roberg and Jack Kuykendall, there is simply no proof to support the assertion by some management theorists that the team management style of leadership is superior to other styles in all situations.[79] While concern for both production and people is important, concern alone cannot ensure effective managerial leadership in police organizations.

All behavioral approaches to leadership are based on similar concepts, even though they may be couched in different terms and generate different sets of labels. The notion that effective managerial leaders seek to influence both work output and social factors is a fundamental assumption inherent in all behavior theories. Even though their basic approach was different, Blake and Mouton came to the same conclusions as the Ohio State researchers. Ohio State used a behavioral model to examine leader actions as perceived by subordinates in the workforce. The managerial grid, on the other hand, is an attitudinal model that has been designed to measure the predispositions of effective

managers. Both discovered a positive relationship between the production-oriented and people-oriented dimensions of proactive managerial leadership. The work of these leader behavior theorists provided the foundation for further study of managerial leadership, because it strongly suggested that the most effective way to lead is a dynamic and versatile process that adapts itself—by way of dominant and backup styles—to unique situations.[80]

Supporters of the **managerial grid** concept believe the 9,9 leadership style is the best way to lead and manage. They view leadership as the interaction between two interdependent variables (e.g., concern for production and concern for people). Emphasis is placed on using all available resources to determine the optimum course of action. The 9,9 police leader seeks to achieve coordinated direction through multiloop open communication designed to find the best alternative or course of action congruent with the logic inherent in a given situation. Even in crises, 9,9 managers continue—to the extent possible—to rely on superordinate goals and the processes of participation, conflict resolution, and group problem solving. Their behavior remains consistent with humanistic principles of openness, involvement, and **participatory** management. The 9,9 leader seeks input, contributions, recommendations, reservations, and doubts from those involved and acts quickly to define problems and devise solutions. Proponents of participation view it as an interaction procedure predicated on the following:[81]

1. Candor
2. Conflict resolution
3. Delegation
4. Effective advocacy
5. Openness
6. Strong initiative
7. Team work
8. Systematic inquiry
9. Two-way evaluation

If the 9,9 approaches fail, police managers may be compelled to shift into a backup style keyed to the needs of the situation. Once the crisis is over, the 9,9 orientation tends to reemerge as the dominant style of management. This is known as 9,9 versatility.

Some situation theorists discount the importance of philosophical and behavioral continuity in the managerial process. They regard effective leadership as a very complex multidimensional social phenomenon, which can only be understood from an interactionist perspective that emphasizes **contingency** factors. Managerial leadership is thought to be the product of an interaction/influence system in which leaders exert influence on other people in a concrete situation and in turn are influenced by them.[82] The key variables in the **situational** approach to leadership are the leaders themselves, the followers, and unique **situational** factors.

Situational Leadership Approach

Situational leadership theories attempt to explain effective managerial leadership in terms of the *interaction/influence* system just discussed. The situational approach is based on the implicit assumption that leadership is always exercised in specific situations that involve real people in a given physical environment.[83] It utilizes **contingency** variables to explain leader behavior. Contingency variables are those factors within situations or followers that determine the style of management leadership most likely to be effective in a given set of circumstances. In other words, different situations call forth and reinforce different kinds of leadership.

While **situational** theories cannot explain exactly what causes a human being to become an effective leader, they do provide an analytical frame of reference for thinking about it. Situational theory says, in effect, that managerial leadership is linked to adaptability. Success is contingent on the individual manager's ability to sense, interpret, and deal with various issues shaped by situational forces and unfolding events. According to Robert